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ABSTRACT

Designed as a step-by-step guide to help community based educators assess the quality of their institutions' performance and identify ways to improve that performance, this workbook provides questions and forms that can be used in comprehensive self-assessment or evaluation of a specific area of practice. Following introductory material on the organization and use of the workbook, each of the next four sections focuses on one of four performance areas (i.e., mission and goals, organization, programs and outcomes, and information management). Within each section, a general overview is followed by brief discussions of the components of the performance area and corresponding exercises eliciting descriptive information, evaluative checklists, and planning-related questions. Part I examines essential elements of mission statements, and the development, use, and review of these statements. Part II addresses governance, administration, fiscal and personnel management, planning, and community relations and communication. Part III focuses on program design and content, support, outcomes, learning processes, and evaluation. Part IV looks at the development of databases and the management of information related to learner characteristics, personnel, the governing board, programs, financial resources, fundraising, community needs, and affiliation with other agencies. (LAL)

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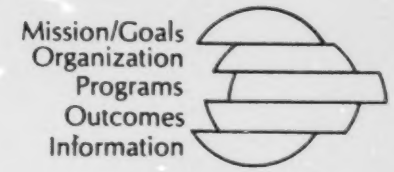
ED235862

# STANDARDS OF PERFORMANCE FOR COMMUNITY BASED EDUCATIONAL INSTITUTIONS:

## Self-Assessment Workbook

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The Association for Community Based Education is a national membership organization serving independent, community based educational institutions which are locally controlled and offer programs aimed at individual growth and community-wide development. The Association acts as a clearinghouse of information about community based education, sponsors meetings and conferences, produces a variety of publications, and provides technical assistance and targeted grants to member institutions.

For further information about the Association or its activities, contact:

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# INTRODUCTION

## DETERMINING INSTITUTIONAL QUALITY

What constitutes a quality educational institution? Conventional wisdom and the practice of accreditation have highlighted a number of contributing factors: for example, a clearly defined mission, meaningful goals, relevant and effective programs, competent faculty, adequate resources, appropriate facilities, able leadership, an emphasis on institutional improvement and a supportive administrative structure. Taken together, factors such as these define essential elements of good practice, but they do not in themselves assure quality.

To find the key determinants of quality it is necessary to look behind the elements of practice to the decisions which shape them and the relations which link them. The nature of the mission and the manner in which it is determined, the degree to which goals and programs derive from that mission, the measures chosen to determine program effectiveness and faculty competence, the ways in which available resources are allocated to meet the institution's purposes, and the congruence between operating principles and actual practice are generally recognized as significant indicators of quality.

Such indicators are clearly important. But because they are general indicators, applicable to any institution, they do not really get at the essence of what it means to be a particular kind of institution.

If we ask, "What constitutes a quality community based educational institution?" we find that additional factors must be addressed, such as these institutions' close links to their communities, their commitment to serving people with special needs, their use of field-based learning, and their emphasis on linked individual growth and community-wide development. To attempt to determine the quality of community based institutions without considering such factors would be to ignore some of the most essential elements of their practice.

Over the past three years the Association for Community Based Education (ACBE) has conducted a major effort to develop an approach to institutional quality assessment and define specifications for self-study that would be

relevant to the practice of community based education. The Standards of Performance for Community Based Educational Institutions and this Self Assessment Workbook are the major products of that effort. Together, these documents define what quality educational performance in a community based setting consists of, and provide "how-to-do-it" guidance to institutions wishing to assess the quality of their own performance.

The Self Assessment Workbook, in particular, was developed out of a recognition that asking questions about institutional performance and intended outcomes can be an important means of improving practice. Self-assessment provides decision-makers the baseline information they need to determine where improvements are needed and how those improvements should be made. If viewed as an on-going, integral part of the institution's functioning, rather than a one-time event the effects of self-assessment on overall performance can be significant.


## ACKNOWLEDGEMENTS

The Self-Assessment Workbook is the culmination of a three-year intensive effort. Since 1980 the Association has developed, tested and revised three drafts of the standards and related guidelines from which the workbook was developed. Our members helped guide our work by field-testing sections of the documents and providing specific suggestions for refining each draft. In particular, we would like to thank the following contributing members:

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Faith Smith, Native American Educational Services (NAES College)
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Members of the Project Advisory Committee also contributed significantly to the project. These experts in quality assurance and evaluation met twice as

a group to give direction to the project. Individual members reviewed and commented on each draft of the documents. They include:

James L. Bess, Professor of Higher Education, New York University.
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Over the last two years Jacques Nacson coordinated the project, carried out the bulk of its research, and developed the standards and related guidelines that are the workbook's content base. Kamer Davis developed the workbook format and edited the guidelines into their final published form. Alice Seldon was the project's graphic designer. Special thanks are also due to the Association's production team: Michele Greene, who provided typing support, Barbara Birney who word-processed the final copy, and Susan Manchester, who coordinated printing and final production.

The project would not have been possible without the generous and consistent support of the Carnegie Corporation of New York, particularly Alden Dunham and Karen Egan, who provided encouragement, valuable suggestions, and unwavering confidence in our work.

## PURPOSE AND APPROACH OF THE WORKBOOK

This workbook has been designed as a step-by-step guide to help community based educators assess the quality of their institutions' current performance and identify ways to improve performance. The questions and forms included in the workbook should be a useful tool for either a comprehensive

self-assessment, or a mini-assessment of a specific area of practice. Although intended primarily for use by community based educators, the workbook should be helpful in other institutions with similar missions, goals, or educational philosophies.

Implicit in the approach to assessment taken here are a number of assumptions regarding how community based educational institutions' missions, and goals should be developed and defined; how their administrative and financial organizations should be structured and operated; how their educational programs and community development projects should be designed and implemented; what the outcomes of those programs and projects should include; how attainment of such outcomes should be measured; and what information is required for successful operation. These assumptions were not made lightly; rather, they are the result of an extensive research effort involving contributions by ACBE members and our own staff and consultants. The most critical of these assumptions have been expressed as a series of Standards of Performance for Community Based Educational Institutions, published as a companion volume to this workbook.

## HOW THE WORKBOOK IS ORGANIZED

Both the Self Assessment Workbook and the Standards of Performance have four parts, each devoted to a major aspect of institutional performance:

- o Part I, Mission and Goals, defines essential components of statements of mission and goals, and examines the process through which such statements are developed and reviewed.
- o Part II, Organization, examines the structure, planning processes, policies and procedures through which the institution's operations are managed.
- o Part III, Programs and Outcomes, examines the design of programs, the content they include, the support they require, the outcomes they strive for, the processes through which learning takes place, and the ways processes and outcomes can be evaluated.
- o Part IV, Information Management, examines the development of data bases and the management of information as an institutional resource. It is designed primarily to help institutions organize the basic information needed for a self-assessment.

Within each part, questions are grouped under lettered section headings. (The sections correspond to the groupings of standards in the companion volume of standards). For example, Part III, Programs and Outcomes, contains five groupings of questions:

A. Program Design

B. The Learning Process

C. Learning Content

D. Program Support

E. Program Evaluation.

Three kinds of questions are asked. First, there are descriptive or analytical questions that ask you to document the way things are--actual processes and products, activities and operating assumptions. There are also evaluative questions that ask you to rate institutional **effectiveness** in each area of performance. Most of the evaluative questions are found in multiple-choice "Quick Check" blocks following a series of descriptive questions. The "Quick Check" blocks are outlined in green for easy identification. Finally, there are planning-related questions that ask you to identify what needs to be done to improve institutional effectiveness. Most of these questions are found in the "Section Summary" that concludes each section. Space is provided after each question to note your answer. You may need more space for some questions. If so, please use a separate sheet of paper and attach it.

Following the questions in each part of the workbook are usually two additional sections. Part III, for example, concludes with:

F. Data For Decisions

G. Next Steps.

The "Data for Decisions" section offers suggestions on where to look to find the data you need to answer the preceding questions. The format is an easy-to-use chart. The left column ("For Information About...") lists typical information needs derived from the questions. The right column ("Data Sources May Include") suggests ways to obtain the information. Since Part IV, Information Management, deals entirely with the subject of institutional data and information, it does not include a "Data for Decisions" section.

Finally, each part concludes with a "Next Steps" chart. It provides a convenient place to summarize and prioritize needed actions, and begin planning the steps to take, the persons to involve, and the time frame within which the work should be done.

## WAYS TO USE THE WORKBOOK

Depending on your institution's self-assessment needs, this workbook can be used in any of a number of ways.

It can provide a framework for a comprehensive institutional self-assessment. Taken together, the questions in this workbook cover every important

aspect of most community based educational institutions' functioning. In using the workbook for a comprehensive assessment, the authors recommend that your assessment team begin with Part I, Mission and Goals, and go through the book section by section. However, if the institutions does not have relatively ready access to information about its community, its constituents, its staff, its finances, and its programs and their outcomes, you may wish to begin with Part IV, Information Management, and then move on to Part I. In completing Part IV you will be gathering information useful in all the other sections.

It can allow focus on a given problem. In many cases, staff and board members are already well aware of areas of institutional performance that are in need of strengthening. In such instances, it is easy to use the workbook's Table of Contents to identify sections that may be helpful. The workbook can also be used to help the institution focus in on what its problems are. Each section of the workbook contains several "Quick Check" questions that ask the reader to evaluate various areas of performance. These "Quick Check" questions have been collected as a separate ACBE publication, A Quick Check of Institutional Performance. Each package contains ten copies of the "Quick Check" questions, for use, for example, by a sample board member, administrative staff, instructors, learner support staff, and participants in rating the institution. The package also contains a form for aggregating the responses. Examination of the responses will quickly indicate areas where problems are perceived and the degree of consensus among the raters.

## CONDUCTING A COMPREHENSIVE SELF-ASSESSMENT

A comprehensive self-assessment cannot be done by a single person. You will need to create a task force or steering committee to oversee the entire self-study, including scheduling and coordinating activities, interpreting information and recommending further action. Possibly one or more subcommittees will be needed to assist in various phases of the project. The assessment effort will also require the involvement of board members, staff, participants, graduates, community leaders, and a number of other people as contributors of perceptions and other data. Clearly, careful planning will be required to minimize disruption of schedules, duplication of effort, or unnecessary intrusions on people's time.

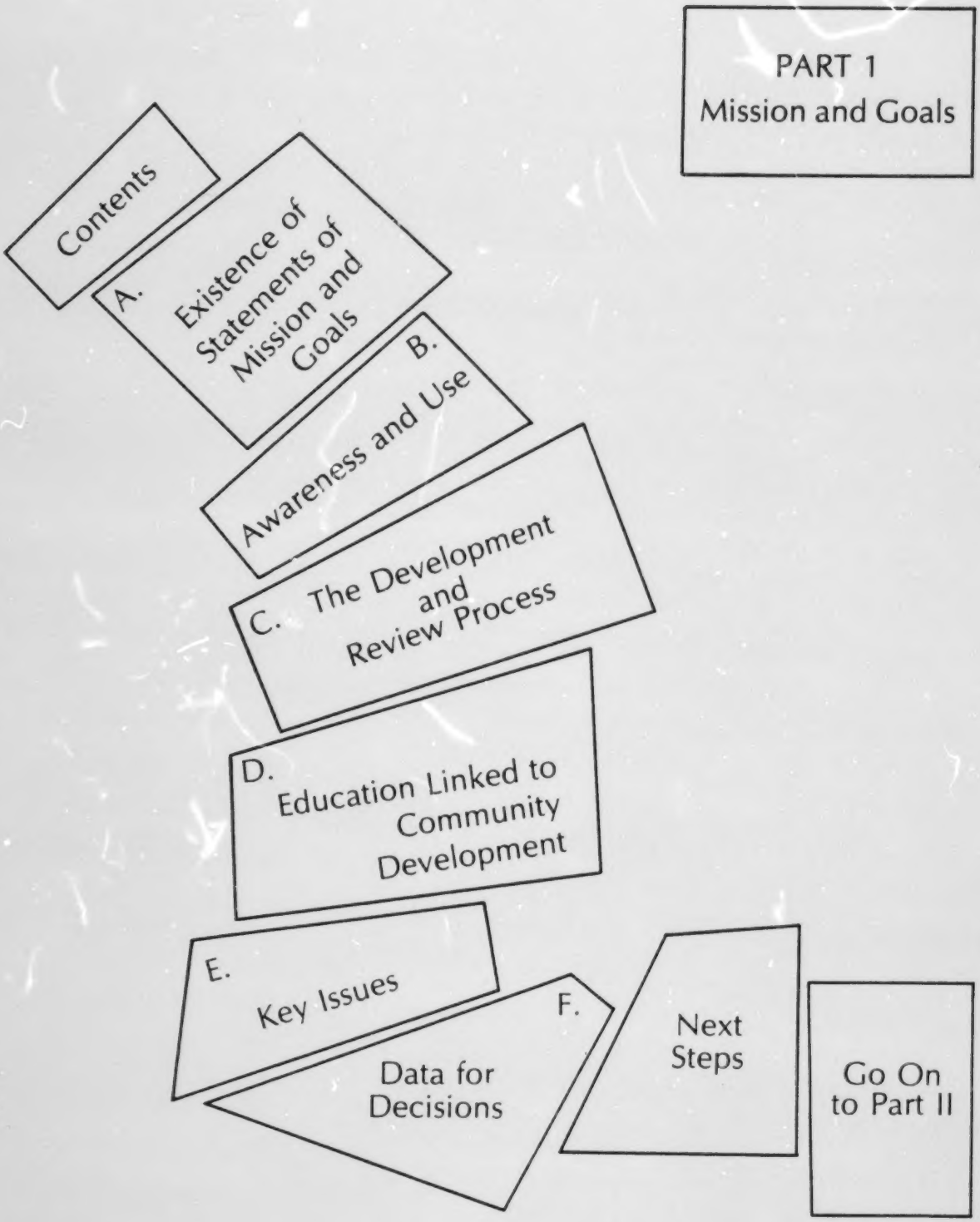
The self-assessment process will generate a great deal of data, and much potentially useful information. The workbook provides space to note ideas and

suggestions, but the self-assessment team should consider compiling the findings into a report that can be reviewed and acted upon by institutional decision-makers and other interested persons. The report should suggest activities to undertake in the form of a post-assessment action plan, including recommendations for both short-range and long-range changes. Review of the report and plan should generate additional comment and suggestions, and at the same time achieve consensus regarding what should happen next.

Clearly, comprehensive self-assessment requires a major commitment of the institution's time and resources. However, the benefits in terms of improved functioning should well outweigh the costs.

In fact, any form of systematic self-assessment--even of a single aspect of operation--has the potential to affect significantly the quality of institutional performance. For this reason we urge you not only to read through the workbook and standards, but to use them, in whatever ways seem most appropriate to your institutional improvement needs.

# PART I
# Mission and Goals


PART 1
Mission and Goals
Contents
A.
Existence of Statements of Mission and Goals
B.
Awareness and Use
C. The Development and Review Process
D.
Education Linked to Community Development
E.
Key Issues
F.
Data for Decisions
Next Steps
Go On to Part II

# OVERVIEW

Most organizations come into being because of some unmet need that must be addressed. Given that need or set of needs, people form an organization to accomplish some common purpose. When an organization calls itself a community based educational institution, its basic purpose--its mission--must derive from the educational and economic development needs of the community the organization serves.

Usually the institution's founders have some shared sense of why the institution exists, whom it is set up to serve, how it will serve them, and what the principles and philosophy are that will guide the institution's operation. However, this understanding is not always fully articulated. Nor, in many cases, is it accessible--available to the governing board, the staff, the students, and the public in complete, yet concise and easy-to-read form.

Not to have a written statement of mission, philosophy and basic goals does a disservice to many: to those who could have been involved in the statement's development, to current and future staff and students, and ultimately, to the community at large. The process of developing or updating a mission statement generates ideas, encourages discussion and clarifies the institution's role and purpose for all who are involved in the project. The resulting product--the statement itself--is an invaluable resource to anyone interested in knowing the fundamental aims and values of the institution.

A carefully developed mission/goal statement serves as a touchstone...a reference point and guide. It tells program designers the ultimate aims their learning activities should accomplish. It tells administrators the basic strategy and philosophical approach they should take in seeking to meet objectives. And it provides the ultimate reference point for assessing the usefulness and appropriateness of programs over time.

Because your institution's statement of mission and goals will be a central part of any assessment you do, look carefully at this part of the workbook before going on to other sections.

# A. Existence of Statements of Mission and Goals

A statement of mission, put simply, is an officially adopted, clearly written description of role and purpose. For a community based educational institution that role and purpose will, by definition, involve education and community development. The mission statement sets forth why an organization exists and its fundamental aims--what it will do in the long run. Typically, it also indicates whom the institution serves, the broad approach taken in serving them, and the institution's guiding principles and philosophy.

Usually the mission statement is accompanied by an officially adopted statement of education and community development goals, derived directly from the mission statement and expressing the broad outcomes the institution hopes to accomplish for its program participants and for the community it serves. Ultimately, the goals serve as the criteria by which the institution can evaluate its effectiveness.

This exercise will help you explore the overall structure and clarity of your institution's statement of mission and goals. You should have a copy of the statements to refer to as you proceed.

## 1. STATEMENT OF MISSION

a. What is the role and purpose of the institution as defined in the official statement of mission? _____

_____

_____

_____

b. How does the statement identify the institution's philosophical orientation? _____

_____

_____

_____

c. Is a basic approach to learning and education included? What is it?

_____

_____

_____

d. Is the institution's approach to community development specified? How?

_____

_____

_____

e. Is the mission consistent with your institution's legal authority to operate as a non-profit community based organization? If not, identify any potential inconsistencies. _____

f. Is the statement the same each time it appears? _____

_____

## *QUICK CHECK*

In general, how clear and complete are the following descriptions in the mission statement:

| | Not at all clear or complete | Needs some work | Very clear and complete |
|---|---|---|---|
| o Statement of purpose | _____ | _____ | _____ |
| o Statement of philosophical orientation | _____ | _____ | _____ |
| o Approach to learning | _____ | _____ | _____ |
| o Approach to community development | _____ | _____ | _____ |
| Is your mission statement concise, and written in a way that people can easily understand? | Tends to be long-winded or confusing | Sometimes long winded or confusing | Generally clear, concise and easy to read |
| | _____ | _____ | _____ |

## 2. RELATED GOALS

a. Does a statement of institutional goals exist, either as part of the mission statement or as a separate document? _____

b. Are the goals derived from your institution's stated mission? How?

_____

_____

_____

c. Are the goals expressed in terms of outcomes, that is results sought? What does the institution hope to accomplish for program participants and the community?

d. Can you describe or document a direct relationship between the goals and the mission?

## QUICK CHECK

| | No | Somewhat | Very Much So |
|---|---|---|---|
| In general, are goals clearly linked to your institution's mission? | ___ | _____ | _____ |
| Are they clearly and simply written? | ___ | _____ | _____ |
| Are they written in enough detail that it's possible to assess whether or not they are attained? (Can you identify what is to happen, and how?) | ___ | _____ | _____ |

## 3. SECTION SUMMARY

a. What could be done to further articulate your program's mission, purpose, and goals?

b. What changes in language or format would help people better understand and accept the basic purpose and goals of the institution?

## B. Awareness and Use

There's no real point in developing statements of mission and goals if they're not going to be read and used. Staff, learners, other program participants, board members and community residents should all have access to information about the institution's mission and goals, and should be encouraged to become familiar with it. Through awareness, discussion, questioning and, above all, regular use, the statement of mission and goals becomes in fact what it is designed to be in theory--a living document, the basis on which policy is decided, programs are planned and designed, resources are allocated, and the work of the institution and its learners goes forth.

This exercise will help you determine the extent to which the mission and goals are read, discussed, and used.

### 1. AVAILABILITY

a. Are the statements of mission and goals displayed prominently in official documents, catalogues and other literature? Specifically, where?

_____

_____

b. If appropriate to your constituency, do copies exist in forms suitable to special needs--for example, languages other than English, large print for the elderly?

_____

### 2. ENCOURAGING AWARENESS

a. How has the institution made the following groups aware of its mission and goals?

...community residents?_____

_____

...the general public?_____

_____

...current program participants?_____

_____

...prospective students?_____

_____

...staff?_____

_____

...other individuals or groups?_____

_____

b. What types of opportunities exist for learners, staff and board members to examine and discuss the mission and goals and their relation to programs and activities?_____

_____

c. What efforts are made to ensure that new learners, staff, board members and community residents are aware of the mission and goals?_____

_____

_____

_____

_____

## *QUICK CHECK*

In general, how aware of the mission and goals are each of the following groups:

| | Low awareness | Adequate awareness | Excellent awareness |
|---|---|---|---|
| o Program participants | _____ | _____ | _____ |
| o Staff | _____ | _____ | _____ |
| o Board members | _____ | _____ | _____ |
| o Community residents | _____ | _____ | _____ |

## 3. USE BY BOARD, STAFF, AND PROGRAM PARTICIPANTS

a. How are missions and goals statements used by the governing board and the staff in:

...formulating policies?_____

_____

_____

...planning and developing programs?_____

_____

...allocating institutional resources?_____

_____

b. How are mission and goals statements used by staff and learners in:

...deciding on the content and structure of programs and learning activities?_____

_____

_____

_____

...determining strategies and methods of instruction?_____

_____

_____

...developing individual learning plans or objectives?_____

_____

_____

## *QUICK CHECK*

In general how useful have statements of mission and goals been in guiding decisions about:

| | Not useful | Somewhat useful | Very useful |
|---|---|---|---|
| o Administrative and programmatic policy? | _____ | _____ | _____ |
| o Program planning? | _____ | _____ | _____ |
| o Resource allocation? | _____ | _____ | _____ |
| o Programs and learning activities? | _____ | _____ | _____ |
| o Instructional approach? | _____ | _____ | _____ |
| o Individual learning plans? | _____ | _____ | _____ |

## 4. SECTION SUMMARY

a. What further actions could be taken to increase familiarity with the institution's mission and goals among the various groups that should be

aware of them?_____

_____

_____

_____

_____

b. What can be done to increase the usefulness of the mission and goal statements?_____

_____

_____

_____

_____

## C. The Development and Review Process

For a community based educational institution the process of developing, reviewing and updating its mission and goals is an important as the product. The effort is a cooperative one, with participation and discussion among board members, staff, program participants, and community residents. And at every stage, the process is integrally linked to the concept of community, for in large measure it is community needs which define, and over time, redefine, institutional purpose.

For a CBEI the mission development process cannot really begin until an effort has been made to define the service community, identify its important characteristics, and target its critical education and development needs. Some of this information may be reflected directly in the institution's statement of purpose; much will become essential background information for goal setting and ongoing planning.

As the work of developing, discussing, and writing the mission and goals gets underway, it is important that the institution establish a process that encourages cooperative problem-solving and decision-making, and allows for effective management and resolution of conflicts. Only through airing and resolving of differing opinions is a true concensus achieved.

It is also important to establish procedures for reviewing the mission and goals as community needs change and as experience redefines the institution's sense of what it can and should accomplish. The mission should be reviewed at least once every five years, the goals probably more frequently. The process will be most effective if it is comprehensive, taking into account program outcomes and community characteristics and needs.

This section will help you examine the processes through which you identify and define your community and its needs, relate those needs to your institutional mission and goals, create written statements of mission and goals, and periodically review them.

## 1. IDENTIFYING AND DEFINING THE COMMUNITY

a. For the community your institution serves, what are:

...the geographical boundaries?

...the economic characteristics? (major industries, pattern of economic growth or decline)

...the residents' socio-economic characteristics?

...their demographic characteristics? (race, ethnicity, distribution density, other characteristics seen as important)

...the unique problems facing the area and its residents?

b. Has your institution selected any particular segment(s) of the population as a group of primary interest? If so, how do socio-economic and demographic data for your constituents compare with those of the overall population in the area? What are your constituents' unique problems and characteristics?

c. How is such information collected by the institution? How are community needs assessed?

d. Is current information available for planning and development purposes? How often is it updated?

## *QUICK CHECK*

| | | | |
|---|---|---|---|
| In general how thorough a description of the community is available? | Needs much more work | Information adequate | Community well described |

## 2. PLANNING BASED ON EDUCATION AND DEVELOPMENT NEEDS

a. Who, representing the community, is involved in the needs assessment process?_____

b. How does your institution ensure that persons knowledgeable about the community's needs are represented in the mission/goals development process, and that a range of interests are represented?_____

c. How are persons involved in mission/goal development made aware of the results of research regarding the community?_____

## *QUICK CHECK*

| | | | |
|---|---|---|---|
| How successful is your institution's process in identifying educational and development needs of the people the institution serves? | Needs not identified | Needs somewhat identified | Needs well identified |
| How fully are the education and development needs of the community considered in the mission/goals development process? | | | |

## 3. DEVELOPING OR UPDATING STATEMENTS OF MISSION AND GOALS

a. Is there a broad base of participation in developing, reviewing and updating your institution's mission and goals? How are participants selected?

b. How are the following groups involved?

...board members?

...staff?

...program participants?

...program graduates or former participants?

...community residents?

c. Do established procedures exist for reviewing and updating the mission and goals? What are they?

d. How does the decision-making process encourage airing and debate of differing views about what the mission and goals should be? Give examples.

e. How does the process allow for managing and resolving conflicts, misunderstandings or disagreements?

## *QUICK CHECK*

In general, how effective has your institution been in:

| | Not very effective | Process needs some work | Process in place and working well |
|---|---|---|---|
| o Encouraging the involvement of board members, staff, participants, former participants, and community people in mission/goals development | _____ | _____ | _____ |
| o Encouraging discussion and airing of diverse views? | _____ | _____ | _____ |
| o Managing and resolving conflict and dissension? | _____ | _____ | _____ |
| o Arriving at decisions affecting the institution's mission and goals? | _____ | _____ | _____ |

## 4. REVIEWING MISSION AND GOALS

a. Is your institution's mission reconsidered at least once every five years?

_____

b. How frequently are general goals reviewed to determine whether they are still appropriate and consistent with the institution's mission?

_____

c. How does the review process take into account:

...changes in environmental, social, economic and political characteristics of the community?_____

_____

_____

...continuing social and economic development needs of the community?

_____

_____

_____

_____

...education needs of the community and program participants?

evaluation data about the effectiveness and viability of the institution's policies and programs?

d. How are reviews at different levels linked? That is, how is review of the institution's mission tied to review of goals, and how is review of goals tied to ongoing planning and evaluation of organizational policies and programs?

e. Does the governing board officially approve changes in both mission and goals?

f. Are changes quickly recorded in all official documents and then made available to the institution's various constituencies?

## *QUICK CHECK*

| In general, how effective is your institution in ensuring that mission and goals statements continue to be appropriate, given changing conditions? | Not effective | Process needs some work | Process in place and working well |
|---|---|---|---|
| | _____ | _____ | _____ |

## 5. SECTION SUMMARY

a. What could be done to more completely identify, define and describe the community and its needs?

b. What could be done to make the mission/goals development and review process more cooperative?_____

_____

_____

c. What could be done to link the review process more directly to changing community needs?_____

_____

_____

# D. The Central Philosophical Premise: Linked Individual and Community Development

Given the differences among community based educational institutions and among the communities they serve, and given the unique process that each institution goes through in developing its mission and goal statements, it is unlikely that any two written mission/goals statements will be interchangeable. Each should fit the institution that developed it, and no other.

Still, if the two institutions are both community based, there will be similarities. The concerns of both groups will lie in the areas of education and community development. And the missions and goals of both groups should thus be based on a similar premise: that improvements in people's quality of life can be achieved through a program that emphasizes linked individual growth and community development.

Without attempting to prescribe what your mission statements should say, this section will help you explore the extent to which your written mission and goal statements are, in fact, based on this premise.

## 1. LINKED INDIVIDUAL AND COMMUNITY DEVELOPMENT

a. Do your institution's mission and goal statements affirm a commitment to both individual growth and community development? How is this commitment stated?_____

_____

_____

b. Is the nature of the relationship between personal growth and the economic and social development of the community described? What is this relationship?_____

_____

c. Do the statements point out education's value in helping people make their community a better place to live? How?_____

_____

_____

d. Do the statements address participants' need to become self-directed and self-reliant? How?_____

_____

If so, has your institution defined self-directedness/self-reliance in terms of behaviors, skills, attitudes and values needed to become independent and at the same time contribute to the development of the community? Describe how this has been done.

## 2. RELATED STRATEGIES AND APPROACHES

a. Do your mission and goal statements include learning outcomes that are designed to empower participants to:

- o Gain control of their lives, and
- o Contribute to the well-being of their community?

What are these learning outcomes?

What learning experiences are described that will lead to these outcomes?

b. Do your mission and goal statements stress cooperation rather than competition as a principal strategy for learning and for addressing common problems? How?

## 3. RELATED EVALUATIVE CRITERIA

a. Do the mission or goals suggest what will determine the effectiveness of the institution or its programs? How?

b. Is effectiveness to be measured in terms of both:

- o The personal growth of participants (e.g., increased self-reliance),
  -and-
- o Increases in the economic and social well-being of the community?

How?

## *QUICK CHECK*

| | Not at all explicitly | Included but not stressed | Very explicitly and clearly |
|---|---|---|---|
| How explicitly do your mission and goal statements set forth the philosophy of linked personal growth and self-help community development? | _____ | _____ | _____ |
| How explicitly do the mission and goals call for learning experiences that will help participants become more individually self--reliant and self-directed directed and at the same time time contribute to the well-being of the community? | _____ | _____ | _____ |

## 4. SECTION SUMMARY

a. What, if anything, should be done to clarify or strengthen the institution's stated commitment to linked individual and community development?

_____

_____

## E. Key Issues

The problems of communities are many, and the goals of community based educational institutions are correspondingly broad and varied. However, almost all community based institutions have some aims in common.

Three issues which are likely to be commonly reflected in the missions and goals of community based educational institutions are economic development, the primary constituency to be served, and development of cooperative relations with other community groups. If they are not dealt with explicitly in the mission and goals, they should be the subject of specific policy statements.

Why these issues are so important is discussed briefly below.

Economic Development. Economic well being is an essential component of self-determination for individuals or communities. Not only employment itself, but where and how that employment should occur, may well be issues to address. Traditionally, educational institutions have sought to combat the problem of unemployment by preparing people to fit existing job slots. If the job only exists across town, across the state, or across the country, so be it. This does not appear to be the approach usually taken by community based educational institutions. Those we have talked with focus more on helping participants acquire the occupational skills they need to find meaningful jobs in or near the community--or, if the jobs don't exist, acquire the entrepreneurial skills to create them.

Primary Constituency. Community based educational institutions usually serve persons who tend to be denied access to more traditional institutions. Whether or not the mission and goals identify low-income, disenfranchised adults as a primary constituency to be served, there should be a statement of institutional policy addressing non-discrimination on the basis of race, sex, enthnicity, religion or handicap. In cases where financial considerations or educational and language program requirements could act as barriers to participation, approaches for overcoming these barriers should be provided.

Cooperative Relations. Another policy area you may want to consider is that of relations with other public and private organizations in the community. If an institution wants to be truly effective in mobilizing resources for com-

munity development and change, it must often work with other groups. To make the most effective use of the community's resources it must promote sharing arrangements. If it wants to foster cooperative, "win-win" approaches to problem-solving, it must encourage the establishment of collaborative efforts among staff, participants, and community residents.

## 1. ECONOMIC DEVELOPMENT

a. To what extent are individual and community needs for self-sufficiency and economic development addressed in your institution's statements of mission and goals?_____

_____

b. Do the statements include a mandate to regularly document employment and economic development needs in the community?_____

_____

c. Whether or not an analysis of employment needs and related educational/ occupational skills is mandated, does the institution use such an analysis to aid in the goal development process? Explain._____

_____

_____

### *QUICK CHECK*

| | | | |
|---|---|---|---|
| Overall, how effectively is the issue of economic development addressed in your institution's mission and goals statements, given the level of community need? | Not at all effectively | Some improvement needed | Very effectively |
| | _____ | _____ | _____ |

## 2. PRIMARY CONSTITUENCY

a. Does your institution have a written policy statement addressing non-discrimination on the basis of race, sex, ethnicity, religion or handicap? Where is it published?_____

_____

b. If your institution charges tuition or fees, does the policy statement set forth alternatives if participants are unable to pay? Describe the alternatives._____

_____

c. Does the statement address the issue of lack of access to education programs because of academic or language requiremets? Are approaches specified so that individuals may acquire existing entry-level skill requirements?_____

_____

_____

## 3. COOPERATIVE AND COLLABORATIVE RELATIONSHIPS

a. Do the mission and goals recognize a need for the institution to encourage community self-help action? Do the mission, goals or other policy statements suggest how this is to be accomplished? Describe._____

_____

_____

_____

b. Do goal statements or written policies promote and encourage board, staff and learner involvement in community affairs and social/political activities?_____

_____

_____

c. In goal statements or written policies, how is the establishment of cooperative arrangement with other organizations encouraged?_____

_____

_____

d. How is sharing of community resources to meet the community's educational and development needs encouraged?_____

_____

## *QUICK CHECK*

| | No policy | Policy could be better | Policy developed and disseminated |
|---|---|---|---|
| Does the institution have a fully developed written policy on non-discrimination? | _____ | _____ | _____ |
| Does the institution have fully developed written policies encouraging cooperation and collaboration with other groups? | _____ | _____ | _____ |

## 4. SECTION SUMMARY

a. How can the institution better address the issue of economic development?

_____

_____

b. What policies on non-discrimination need to be developed?_____

_____

c. How should the institution strengthen or encourage cooperative relations with other groups?_____

_____

_____

## F. Data for Decisions

Use the following chart to help you identify sources of information that can help you in assessing mission and goals.

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| **A. EXISTENCE OF MISSION AND GOALS** | |
| 1. Where and how mission and goals are documented | o Catalogues<br>o Brochures<br>o Institutional histories<br>o Program plans<br>o Articles of Incorporation<br>o Perceptions of Board members and staff who helped organize the institution |
| **B. AWARENESS AND USE** | |
| 1. Availability | o Public relations documents<br>o Constituents (Have they read the statements? Do people know where to find the statements?) |
| 2. Encouraging awareness | o Records of planning meetings (How were mission/goals reviewed and discussed?)<br>o Records of orientation meetings for students, staff, board members<br>o Newspaper clippings (Do articles about the institution mention its mission?)<br>o Responses to requests for information about the institution<br>o Staff members (How are they made aware of mission and goals?) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| 3. Use in setting priorities, allocating recources, planning programs and designing instruction. | o Minutes of planning meetings<br>o Planning and budgeting documents<br>o Annual reports<br>o Program descriptions and course syllabi<br>o A sample of students' individual program records<br>o Administrators' perceptions<br>o Board members' perceptions<br>o Instructors' perceptions<br>o Learners' perceptions |
| **C. THE DEVELOPMENT AND REVIEW PROCESS**<br><br>1. Community characteristics and problems, including:<br><br>o Demographic and socio-economic characterictics (including language preferences, educational levels, religious preferences,average income, etc.)<br>o Extent of poverty - number of people on public assistance<br>o Unemployment and underemployment<br>o Extent of illiteracy (English or another language)<br>o Public health problems and adequacy of health care facilities/recources<br>o Extent of crime and delinquency<br>o Quality/availability of housing<br>o Quality of transportation and public facilities (libraries, cultural centers, recreational areas) | |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| o Special characteristics of the target population | o Proposals and planning documents<br>o Bureau of Census statistics<br>o Local government planning documents<br>o Local Department of Labor and Employment reports/documents<br>o Offices of key community leaders, government officials<br>o State Department of Education reports/documents<br>o State Department of Finance<br>o State/County Department of Planning and Development<br>o State/local vocational/technical education and employment councils<br>o Perceptions of key community leaders representing or serving the primary population<br>o Perceptions of local religious leaders constituents |
| 2. How planning is based on education and development needs | o Program planning documents<br>o Mission and goal statements<br>o Minutes of planning meetings<br>o Evaluation reports<br>o Staff members' perceptions<br>NOTE: Look for evidence of the ways community needs provide the basis for program decisions |
| 3. The institution's development process, including: | |
| o Securing a broad base of participation | o Lists of participants in the development process<br>o Written procedures (in a policy manual or other document) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| o Participants' knowledge of procedures | o Participants' perceptions (How do their perceptions of the process compare with written statements? How do perceptions vary?) |
| o Degree of participation by various groups | o Records and minutes of meetings showing evidence of participation by each group<br>o Participants' perceptions (How do they see their role and involvement?) |
| o Success in resolving conflicts | o Meeting minutes (How were disputes resolved?)<br>o Participants' perceptions (How well do they think conflicts were resolved? Would they be willing to participate again?) |
| 4. The review process | o By-laws<br>o Written procedures<br>o Current and former version of statements (How do they differ? When was each approved?)<br>o Perceptions of participants in the review process (What do they see as the major issues that led to change? Did the issues involve questions of constituents' basic needs?)<br>o Minutes of planning and review meetings<br>o Evaluation reports current and past<br>o Community needs assessment reports (How have needs changed?) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| **D. THE CENTRAL PREMISE: LINKED INDIVIDUAL GROWTH AND COMMUNITY DEVELOPMENT** | |
| 1. The linkage between individual growth and community development | o The institution's statement of purpose in its mission and goal statements<br>o Perceptions of board, staff and learners (Are both elements equally pursued, or is one component emphasized more than the other?) |
| 2. Whether empowerment is defined in terms of capability for self-reliance and self-directedness | o Mission and goal statements<br>o Curriculum documents, program plans and course syllabi<br>o Perceptions of staff and learners (Does the curriculum help students become independent and self-reliant?) |
| 3. How learning takes place and outcomes are evaluated | o Mission and goal statements<br>o Student perceptions<br>o Evaluation reports, procedures |
| **E. KEY ISSUES** | |
| 1. Economic Development | o Statements of mission and goals<br>o Assessments of economic development and employment needs of the community<br>o Program planning documents (for evidence that employment assessment data are used in formulating goals and planning programs)<br>o Employers' perceptions (Are they familiar with goals of institution? Have they been asked to and do they support the efforts of the institution?) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| 2. Primary constituency and non-discrimination | o Mission and goal statements<br>o Policies manuals and other constitutional documents (Is there a clear statement identifying low-income adults as a population to be served?)<br>o Board and staff members' perceptions--in particular, those of admissions and financial aid personnel<br>o Learners' perceptions<br>o Enrollment/participation data showing learners' socio-economic characteristics |
| 3. Cooperative relationships | o Mission and goal statements<br>o Policy statements<br>o Minutes of board meetings where the issue was discussed<br>o Key board and staff members who are responsible for liaison activities<br>NOTE: You will want to examine whether written policies exist that promote the establishment of external relations, shared use of community resources and coalition of efforts to solve common problems. Identify the groups with whom relations are maintained and the reasons for maintaining such contacts. |

## G. Next Steps

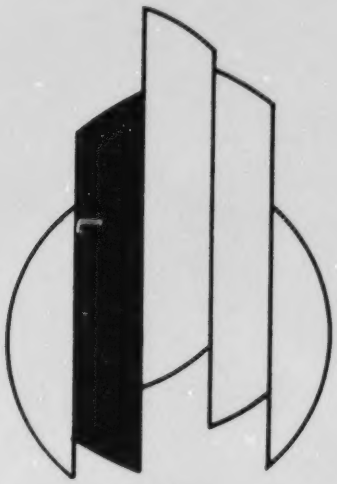
| MISSION AND GOALS | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

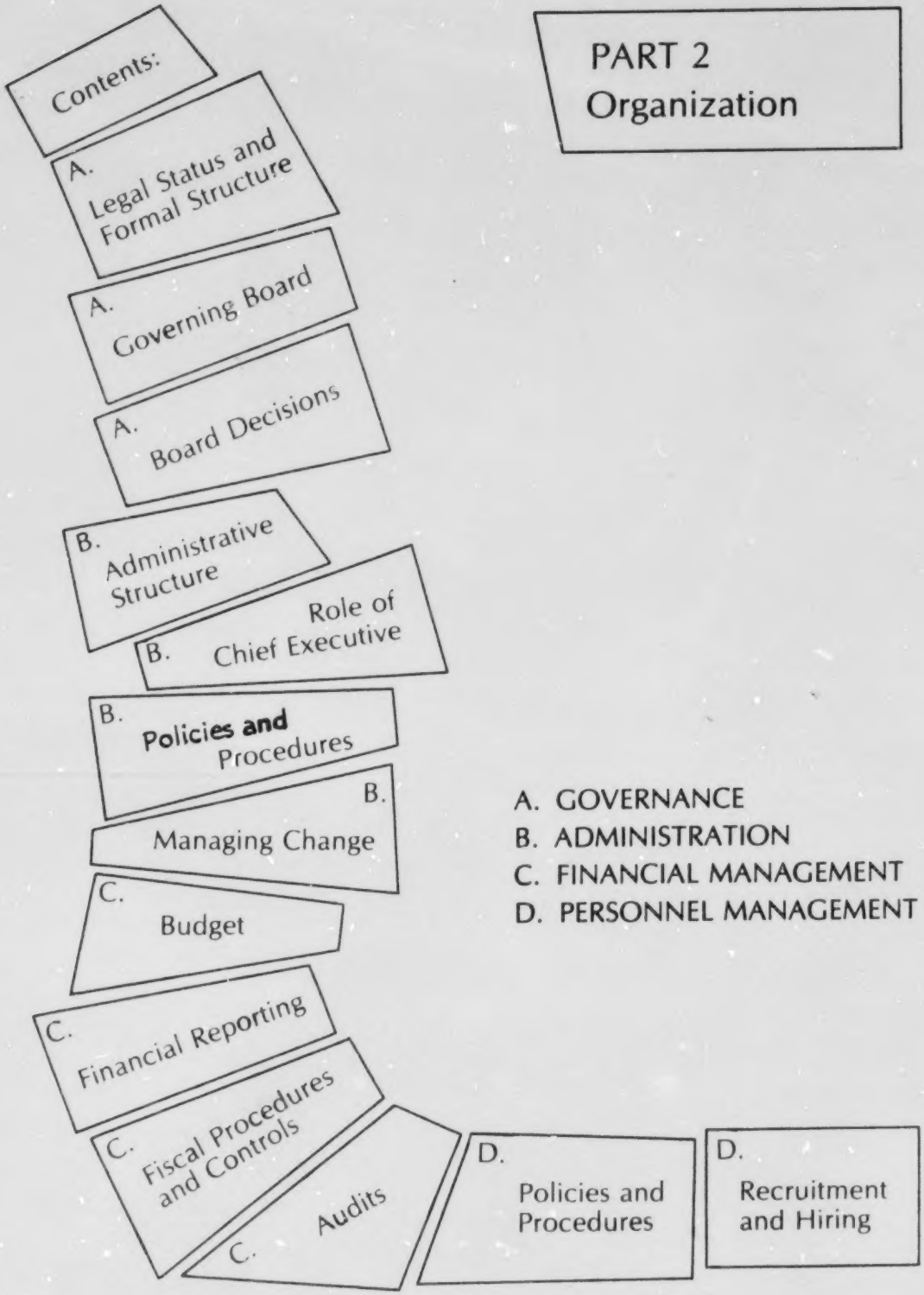
| MISSION AND GOALS | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

| MISSION AND GOALS | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

# PART II

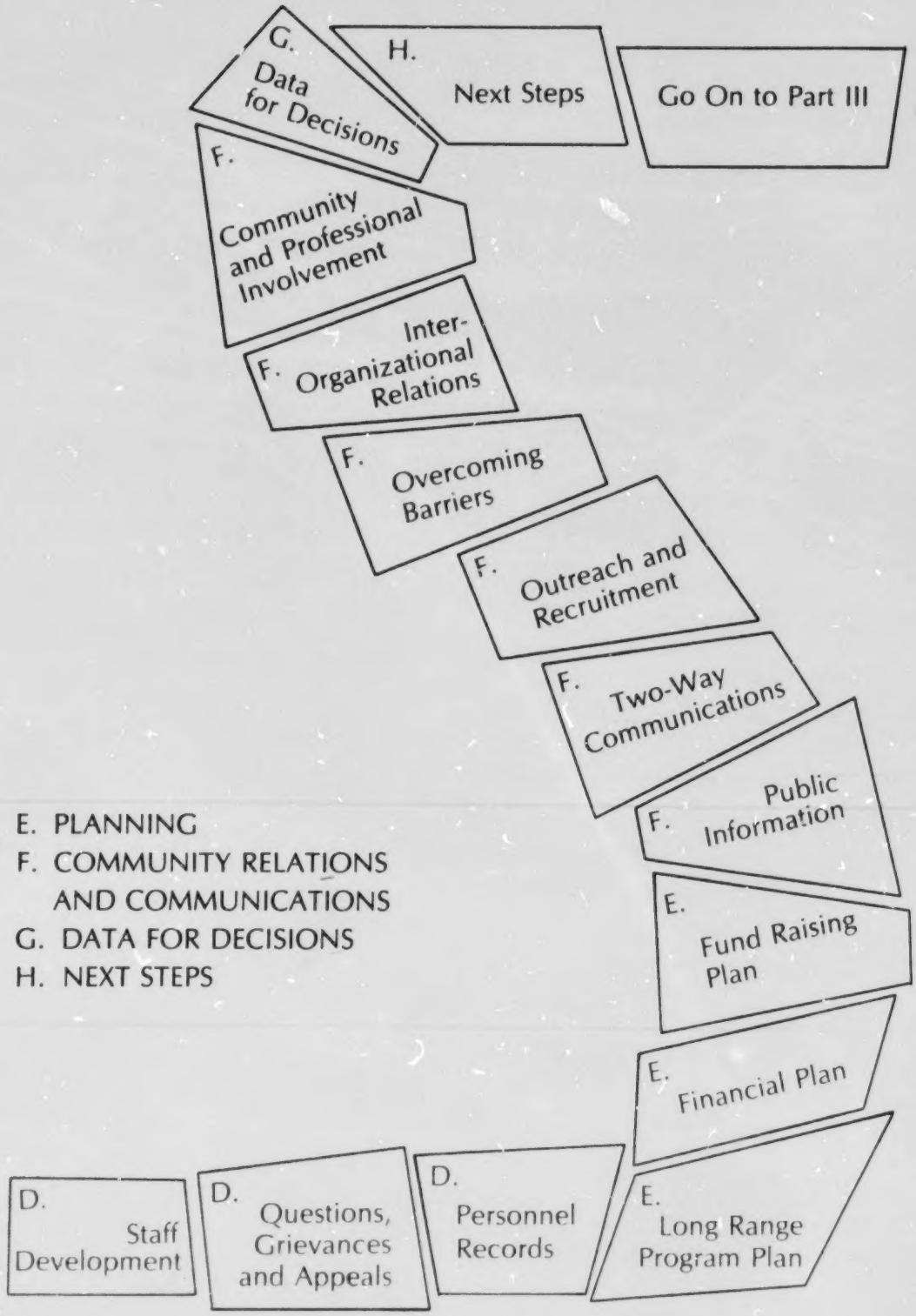
## Organization






# PART 2
# Organization

A. GOVERNANCE
B. ADMINISTRATION
C. FINANCIAL MANAGEMENT
D. PERSONNEL MANAGEMENT


G. Data for Decisions
H. Next Steps
Go On to Part III
F. Community and Professional Involvement
F. Inter-Organizational Relations
F. Overcoming Barriers
F. Outreach and Recruitment
F. Two-Way Communications
F. Public Information
E. Fund Raising Plan
E. Financial Plan
E. Long Range Program Plan
D. Personnel Records
D. Questions, Grievances and Appeals
D. Staff Development
E. PLANNING
F. COMMUNITY RELATIONS AND COMMUNICATIONS
G. DATA FOR DECISIONS
H. NEXT STEPS

# OVERVIEW

An institution's mission and goals are ends--outcomes that the institution will seek to accomplish. Educational programs are the primary means for achieving these ends. An effective organization is the bridge between them, translating broad goals into specific plans for action, and providing essential administrative and financial support for programs.

In this section we will look at a number of components of organizational effectiveness. The first is governance. No organization can be effective without a carefully developed governing structure that clearly sets forth the responsibilities and roles of the governing board and administration, and an active and knowledgeable governing board that represents the community and responds to its needs.

Second is administration--again, both the formal structure and the nature and quality of leadership provided. In addition, we will examine those aspects of the institution's operation that are specified in formal policies and procedures, and the institution's administrative approach to managing change.

Third is financial management--how the institution's resources are allocated and accounted for, and how stability and security are assured.

Fourth is personnel management--which ensures that staff are competent and committed, that they are aware of their rights and responsibilities, and that they are provided the opportunity to develop their skills and abilities over time.

Fifth is planning--including program, financial and fundraising plans. Of particular concern are the long-range plans that describe and chart activities and allocate resources over a three- to five-year period to ensure that institutional goals are met.

Finally, community relations and communications are considered. The institution's ability to reach out to its constituents and develop links with other organizations is important to its overall success in responding to community needs.

# A. Governance

How well a community based educational institution is governed depends on the way the institution is formally structured and the knowledge, experience and decision-making activities of its governing authority. In this section we make two assumptions regarding the governance of your institution:

(1) that the institution is incorporated as a non-profit organization, with a formal structure documented in a charter or set of by-laws

(2) that a governing board is the entity responsible for setting overall direction and policy.

If your group has not yet incorporated as a tax-exempt non-profit institution under the laws of the state in which you function, most of this section will not apply to you, and your first step toward accountability must be formal incorporation.

The questions in this section are organized under three broad headings:

- Legal Status and Formal Structure
- The Governing Board--Composition
- The Governing Board--Decisionmaking and Resource Identification

The legal status and formal structure of the institution provide the basic framework within which it is governed. You must have a charter or by-laws which define the institution's purpose and mandate its operating policy and procedures. In assessing this aspect of governance you will be concerned with compliance with legal requirements and with how the charter or by-laws reflect the institution's mission and philosophy of education and community development.

The composition of the governing board is examined from two perspectives. First is the extent to which the board is representative of the contituents being served. The board *is your* program's link to the community, and a source of community information and support. A board comprised primarily of "outsiders" cannot serve these function well. Second is the collective knowledge and experience the board **brings** to the governance of the institution. To ensure a knowledgeable and active board, training and development opportunities should be provided.

The board's decision-making and resource identification functions should ensure the stability and growth of the institution. The board is usually involved in program and financial planning, selecting a chief executive for the institution, evaluating executive and institutional performance, fundraising, advocacy and resource identification.

To help you in completing this section, you will need to have a copy of the institution's:

- o Articles of Incorporation
- o Constitution or Charter
- o By-laws, and
- o Any additional formal documentation of the governing process

## 1. LEGAL STATUS AND FORMAL STRUCTURE

a. Is your institution incorporated as a tax-exempt non-profit institution in the state which you are located? _____

b. Do you have all needed documentation to show that the institution is in compliance with local, state and federal laws regarding non-profit and tax-exempt status? Indicate the documentation you have on the chart on the next page.

NOTE: The examples in the chart are intended as general guides only. Institutional structures and legal requirements vary greatly from jurisdiction to jurisdiction.

COMPLIANCE WITH APPLICABLE LAWS
AND REGULATIONS

| REQUIREMENT | DOCUMENTATION |
|---|---|
| FEDERAL | Federal tax identification number<br>501 C-3 |
| STATE | Articles of Incorporation<br>Employer ID Number<br>State Licenses<br>By-laws<br>State Tax Identification Number |
| LOCAL | |

c. How do the legal charter or by-laws document the structure and authority of the governing board? Is the board's policy-making role clearly distinct from the administrative and management responsibilities of staff?

d. Describe how the constitution or by-laws set forth responsibilities and tasks of the governing board, and provide rules and criteria regarding:

...optimum size of the board

...eligibility for membership

...method of selection

...terms of office

...procedures for filling unexpired terms

...election, responsibilities and duties of officers

...times the board will meet

...roles, function and selection of committees

...quorums

...parliamentary procedures

...methods of amending the by-laws

...relationship of the chief executive to the board

e. How do the charter, constitution or by-laws incorporate your institution's

mission and philosophy regarding education and community development?

_____

_____

_____

f. What provisions in the charter, constitution or by-laws serve to ensure that board policies and decisions are guided by community needs, and are consistent with stated philosophy?_____

_____

_____

## *QUICK CHECK*

| | Not at all | Could use some work | Very well |
|---|---|---|---|
| How well is the institution complying with legal requirements for incorporation as a non-profit, tax-exempt institution? | _____ | _____ | ____ |
| Do your constitution and by-laws accurately and completely reflect the institution's philosophy and mission in education and community development? | _____ | _____ | ____ |
| How well do the by-laws set forth responsibilities for the board and provide useful criteria for its structure and activities? | _____ | _____ | ____ |

## 2. GOVERNING BOARD—COMPOSITION

a. Is the board representative of your constituents? That is, to what extent is its composition similar in terms of:

...race_____

...sex_____

...ethnicity_____

...income level_____

...other important characteristics: (list)_____

_____

_____

b. What percentage of the board members live and work in the community served?_____ Is this a majority?_____

c. Are board members knowledgeable and informed regarding the education and development needs of the community? How is this assured?_____

_____

_____

_____

d. As a whole, does the board offer experience and skills in the kinds of areas necessary for the institution's success? For example, how knowledgeable are board members regarding:

...non-profit management?_____

...fundraising?_____

...adult education?_____

...education needs in the community?_____

...community development?_____

...advocacy?_____

...other important areas, including: (list)_____

_____

e. To what extent do criteria for board eligibility focus on potential members' representativeness of the community, knowledge of its problems, and relevant skills and experience?_____

_____

_____

f. Is there an ongoing board development training program? How are needed skills and knowledge identified and developed?_____

_____

## *QUICK CHECK*

| | Not at all | Somewhat | Very much |
|---|---|---|---|
| How representative is your board of the community? | _____ | _____ | ___ |
| How knowledgeable are members regarding community problems? | _____ | _____ | ___ |
| Does the board possess the governance experience and skills the institution needs? | _____ | _____ | ___ |

## 3. THE GOVERNING BOARD—DECISIONS

a. What structure is used to guide and oversee the institution's functions? If a committee structure is used, what are the major responsibilities of each committee?

b. How often do committees meet and how are decisions documented?

c. How does the board exercise its authority for:

...holding meetings as prescribed in the by-laws?

...keeping accurate, permanent records of meetings (including who was present, topics discussed, decisions reached, time frames for recommended actions)?

...selecting and then periodically reviewing the performance of the institution's chief executive?

...ensuring conformity to legal and fiscal requirements?

...evaluating institutional performance overall?

...participating in financial planning?

...participating in fundraising and advocacy?

d. In what ways does your board participate in decisions about educational programs and learning activities?

e. How is the distinction between the decisionmaking functions of the chief executive and those of the board (as spelled out in the by-laws) carried out in practice?_____

_____

_____

_____

f. How do board members view their working relationship with the chief executive?_____

_____

_____

g. How do the chief executive and administrative staff view their relationship with the board?_____

_____

_____

_____

h. What resources (sources of expertise, funds, or other support) is your board currently providing the institution?_____

_____

_____

_____

_____

_____

## *QUICK CHECK*

| | Not effective and productive | Somewhat effective and productive | Very effective and productive |
|---|---|---|---|
| How effective is the board as a decisionmaking body for the institution? | _____ | _____ | _____ |
| How productive are the working relationships between the board and the institution's administration? | _____ | _____ | _____ |
| How effective is the board in identifying resources to assist the institution? | _____ | _____ | _____ |

## 4. SECTION SUMMARY

a. What could be done to strengthen the formal structure of the institution?

b. What criteria for board membership need to be stressed in order to heighten its representativeness and knowledge base?

c. How could the board's decisionmaking functions be improved?

d. What could be done to improve the working relationship between the board and the administration?

e. What additional resources could the board contribute--directly or indirectly--to your program?

## B. Administration

In any legally constituted corporation there are two decisionmaking authorities--the governing board and the institution's administration. Put simply, the governing board sets policy, while the administrative authority executes it.

In this section we will be examining the overall administrative authority of a community based educational institution, rather than specific administrative activities. This section looks at administration from four perspectives:

- o Structure
- o Role of the chief executive
- o Operational policies and procedures
- o Process for managing change

Specific administrative activities--planning, budgeting and recordkeeping, for example--will be covered in subsequent sections.

The administrative structure of the institution is the formal system of functions and interrelationships through which day-to-day management and operations take place. The structure is documented in the institution's organization chart and in the various documents that specify the roles, responsibilities and reporting authorities of staff positions. In looking at your administrative structure you will want to know, first of all, whether it has, in fact, been adequately documented, and then, whether it makes sense--that is, whether it is internally consistent, and facilitates achievement of goals.

The role of the chief executive officer (CEO) should be broadly delineated in the organization's by-laws and spelled out in a job description or other statement of responsibilities. Ultimately, the chief executive is responsible for all day-to-day operations of the institution. The leadership exercised by the CEO is a strong determinant of the effectiveness of the institution as a whole.

Operational policies and procedures are guides to administrative action. They provide direction to staff in performing their work, and standards for the quality of that work. Policies and procedures are usually collected in an Operations Manual. The manual should be comprehensive, clear, up-to-date, and accessible to staff.

Effective processes for managing change are essential to long-term survival. A viable institution must be able to adapt successfully to changing circumstances, and at the same time maintain its continuity. Successful change does not just happen. It is a carefully planned and implemented process.

The questions which follow will help you look at these aspects of administration in more detail.

## 1. ADMINISTRATIVE STRUCTURE

a. Is your institution a legal entity with an identifiable administrative structure specified in its by-laws or constitution? Describe this structure as formally defined.

b. What documents identify the organization's structure--that is, the purpose, functions and interrelationship of organizational components? How current are these descriptions? How accurate are they?

c. How are staff positions, tasks, and roles spelled out? Do staff agree that the descriptions are complete? Current? Accurate?

d. How are staff made aware of their decision-making responsibilities and reporting relationships?

e. Do the various interdependent units that make up the organization function well in support of each other? Where are there obvious:

...functional gaps?

...functional overlaps?

...communication gaps?_____

_____

...communication redundancies?_____

_____

f. What aspects of the organizational structure <u>do</u> or <u>do not</u> have a clear relation to mission and goals?_____

_____

_____

g. How are staff and students involved in identifying ways to improve the flow of work and communication in the organization?_____

_____

## *QUICK CHECK*

Please rate your institution's administrative structure in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Helps achieve program goals | _____ | _____ | _____ |
| o Responsibilities clear and distinct | _____ | _____ | _____ |
| o Well-documented roles/ responsibilities | _____ | _____ | _____ |
| o Encourages shared decision-making | _____ | _____ | _____ |
| o Designed to further mission/ goals | _____ | _____ | _____ |

## 2. ROLE OF THE CHIEF EXECUTIVE

a. How are the major roles and responsibilities of the CEO defined in the by-laws or constitution?_____

_____

_____

_____

b. In practice, what are the CEO's responsibilities with regard to:

...allocating and controlling financial resources and costs?_____

_____

_____

...communicating with the board of directors?_____

_____

_____

...managing the work and performance of administrative and instructional staff?_____

_____

_____

...developing short- and long-range institutional plans?_____

_____

_____

...providing leadership in program development and assessment?_____

_____

_____

...developing reports of program accomplishments and evaluating program processes and outcomes?_____

_____

_____

...ensuring communication and linkage with the community?_____

_____

_____

c. Who evaluates the performance of the CEO? How and how often is appraisal conducted?_____

_____

_____

## *QUICK CHECK*

Please rate the effectiveness of the CEO in fulfilling the following aspects of his/her leadership role:

| | Fair | Good | Excellent |
|---|---|---|---|
| o Motivator of staff | ____ | ____ | _____ |
| o Communicator with constituents | ____ | ____ | _____ |

| | Fair | Good | Excellent |
|---|---|---|---|
| o Fundraiser | ___ | ___ | _____ |
| o Liaison with board and community leaders | ___ | ___ | _____ |

Please rate the effectiveness of the CEO in fulfilling the following leadership responsibilities:

| | | | |
|---|---|---|---|
| o Fiscal management | ___ | ___ | _____ |
| o Program development | ___ | ___ | _____ |
| o Program evaluation | ___ | ___ | _____ |
| o Task organization | ___ | ___ | _____ |
| o Task management | ___ | ___ | _____ |

## 3. OPERATIONAL POLICIES AND PROCEDURES

a. Does your institution have written policies and procedures to guide operations? How does the operations manual or other operational guide cover such activities as:

...processing records?_____

_____

...maintaining files and records?_____

_____

...processing requests for information?_____

_____

...scheduling and assigning work?_____

_____

...preparing and reviewing reports and correspondence?_____

_____

...typing and reproduction procedures?_____

_____

...maintaining equipment and facilities?_____

_____

...allocating and scheduling space?_____

_____

...purchasing and requisitioning supplies?_____

_____

...inventory control?_____

_____

b. Does the manual indicate standards of quality for administrative operations? How is this done?_____

_____

c. Is there an established process for changing the way things are done--e.g., for reviewing suggestions or complaints? What is it?_____

_____

_____

d. Is your manual reviewed and updated at least annually?_____

e. To what extent are the activities of the institution carried out in accordance with the guidelines and quality standards set forth in the manual? In what areas does practice differ most significantly?_____

_____

_____

_____

f. In these areas, is the problem with the practice or the manual? Please explain_____

_____

_____

## *QUICK CHECK*

Please rate your institution's administrative structure in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o <u>The theory</u> (How well have policies and procedures been thought through?) | _____ | _____ | _____ |
| o <u>The documentation</u> (Are policies written down? Is the operations manual complete and up-to-date?) | _____ | _____ | _____ |

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o The awareness (To what extent are employees aware of policies and procedures, and able to read them?) | _____ | _____ | _____ |
| o The practice (To what extent are there differences between what's written and what's done?) | _____ | _____ | _____ |

## 4. PROCESSES FOR MANAGING CHANGE

a. Does the institution have an established process for making administrative changes in light of changing needs? What is it?_____

_____

_____

_____

b. Does the process include a self-assessment of the efficiency and effectiveness of current operations? What areas have been identified as needing improvement?_____

_____

_____

_____

_____

c. What opportunities are there for the staff, board members and program participants to discuss the reasons for change and make suggestions regarding change?_____

_____

_____

d. What precautions are in place to ensure that stability is maintained--that there are no undue costs or major disruptions affecting operations and staff?_____

_____

_____

e. How are changes planned and prepared for--that is, how are people informed about what will take place, and encouraged to participate in the change process?_____

_____

_____

f. Describe at least two instances in which the institution has been able to adapt and change successfully in order to move toward its goals.

g. How have staff dissatisfaction and turnover that sometimes accompany such change been minimized?

## *QUICK CHECK*

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| In general, how successful has the institution been in managing change? | _____ | _____ | _____ |

## 5. SECTION SUMMARY

a. What could be done to more fully document the institution's administrative structure?

b. What could be done to structure the organization more efficiently or objectively? List short-range as well as long-range plans for improving the effectiveness of the administrative structure.

c. What could be done to strengthen the leadership provided by the Chief Executive Officer?

d. What could be done to improve the documentation of policies and procedures?

e. What improvements would make operational policies and procedures more efficient or effective?_____

_____

_____

f. What would help the institution better manage change?_____

_____

_____

_____

g. How can these suggestions for change be implemented at this time?_____

_____

_____

_____

_____

## C. Fiscal Management

Sound fiscal management is essential to survival, whatever your institution's size. Some small organizations try to get by with "seat of the pants" financial operations, figuring that their financial situation is too volatile to warrant detailed projections and that they are too small to need careful controls. Yet it is small institutions who most need fiscal management; they cannot afford the luxury of error.

Whatever the stage of your institution's development, you should be concerned with these four components of good fiscal management:

- Budgeting
- Financial reporting
- Fiscal procedures and controls
- Audits

Budgeting is the first stage in the annual financial management cycle. It is the process by which anticipated revenues and expenditures for a given period (usually a fiscal year) are estimated, reviewed and formally approved. Budgeting allocates resources to ensure that essential programs and activities will have the funds they need to operate; it links program planning to resource realities and fundraising needs.

The budgeting process should also ensure that the institution will be able to continue operating under emergency conditions such as payment delays or sudden curtailments of funds. Contingency budgeting includes establishing a realistic cash reserve and forecasting quarterly cash needs for all major programs.

Financial Reporting on a regular basis lets the institution compare actual performance with planned (budgeted) performance, and provides a basis for corrective action and ongoing planning. Monthly budget variation reports should indicate not only the existence of variances but also the reasons for them. Quarterly and annual financial statements should provide up-to-date accounting of all revenue received and funds expended. The annual statement should provide a full accounting on an annual basis. Accounting records showing how funds have been allocated and spent by various programs are a valuable source of information for program planning. Long-term accounting records showing shifts in costs by category over a number of years can highlight problems and show opportunities for cost savings.

Fiscal procedures and controls allow for accurate and continuous accounting of expenditures. They also protect the institution from loss or theft of cash, property and other assets. Procedures and controls should be based upon generally accepted accounting principles. Minimally, the accounting and control procedures should ensure that cash receipts are handled properly, that costs or expenses are checked for reasonableness before disbursement, that revenues and expenditures are promptly documented, and that equipment and property are maintained and safeguarded.

An annual audit verifies that receipts and expenditures are properly recorded. It also flags any weaknesses in the institution's financial management system so that they can be corrected. To ensure objectivity, the audit should be conducted by an independent certified public accountant familiar with the generally accepted accounting principles for non-profit educational organizations. It is important that the institution maintain all the records required for a complete audit, as well as the back-up documentation required for each entry.

The questions below will help you assess such fiscal management policies and procedures.

## 1. BUDGETING

a. Does your institution have an approved budget of revenues and expenditures for the current fiscal year?_____ Was the the budget prepared and approved by the board before the beginning of the fiscal year?_____

b. Describe the preparation and approval process. Was it a cooperative one?

_____

_____

_____

c. Does the budget identify anticipated revenues by source of funding and projected expenditures by both line item and category of program or activity? What program categories are used and what percentage of the budget is allotted to each?_____

_____

_____

_____

_____

d. What methods are used to forecast cash needs?_____

_____

e. Does a cash reserve fund exist?_____ Are a cash needs re-figured quarterly?_____

f. How are changes due to inflation projected in the budget?_____

_____

g. In past years, how accurate has the budget been in projecting income and expense levels?_____

h. If deficits occured, how were they met?_____

_____

_____

i. What is the process by which resource priorities are determined?_____

_____

_____

_____

j. Look at your program's statements of mission and goals. How are these priorities reflected in the budget?_____

_____

_____

k. Does the budget ensure that adequate resources are allocated to the institution's essential programs and activites?_____

## QUICK CHECK

Rate your institution's budget in terms of the following:

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| o Accurately anticipates revenues and expenses | _____ | _____ | _____ |
| o Ensures smooth cash flow | _____ | _____ | _____ |
| o Reflects basic purpose (as expressed in mission, goal statements) | _____ | _____ | _____ |
| o Provides adequate resources for essential programs and activities | _____ | _____ | _____ |

## 2. REPORTING

a. Are monthly budget variation reports produced?_____ Do they:

...compare projected and actual revenues and expenses for each program category?_____

...identify reasons for significant differences?_____

...receive attention from the governing board and fiscal and program managers?_____ How are the reports used?_____

_____

_____

b. What quarterly and annual financial statements are produced? Do they account for all revenue received and show all funds expended? How are they used by fiscal and program managers?_____

_____

_____

_____

_____

c. Are cash flow projections produced and updated quarterly?_____

d. Is an annual report prepared for the board's review and approval with three months of the close of the fiscal year?_____

e. What overall records and reports of annual program costs are kept?_____

_____

_____

_____

f. Do the records and reports:

...assign direct costs to appropriate programs or cost objectives?_____

...assign overhead or indirect costs to appropriate programs or cost objectives?_____

...aggregate cost data to determine total program costs and costs per unit of service (for example, cost per program participant)?_____

...identify and include in-kind contributions?_____

g. How are cost data used in program planning and decision-making? For example, how are cost data used to:

...examine the relation of program costs to program outcomes, and then analyze the costs and benefits of various programs?_____

_____

...identify any unusual shifts in costs (for example, a shift in the ratio of overhead costs to direct program costs or of personnel costs as a percentage of overall budget)?_____

_____

_____

...identify cost-saving measures?_____

_____

_____

How else are cost data used?_____

_____

_____

## *QUICK CHECK*

Please rate your financial reporting in terms of:

| | Reports inadequate | Fair | We're in good shape |
|---|---|---|---|
| o Completeness | _____ | ___ | _____ |
| o Timeliness | _____ | ___ | _____ |
| o Usefulness for program planning | _____ | ___ | _____ |
| o Usefulness in identifying problems | _____ | ___ | _____ |
| o Usefulness in showing ways to cut costs | _____ | ___ | _____ |

## 3. FISCAL PROCEDURES AND CONTROL

a. Does your institution have written fiscal policies and accounting procedures, and are they based on the generally accepted accounting principles issued by the Association of Independent Certified Public Accountants?

_____

b. How do your accounting procedures ensure that:

...all financial transactions are accounted for?_____

_____

...all transactions are handled uniformly?_____

_____

...records are accurate and reliable?_____

_____

...funding source requirements are adhered to?_____

_____

...transactions are reconciled and summarized regularly?_____

_____

...timely and accurate financial statements can be prepared?_____

_____

c. What controls exist to ensure that:

...cash receipts are properly handled?_____

_____

_____

...cost or expenses are reviewed for reasonableness before funds are disbursed?_____

_____

_____

...all cash and checks are properly disbursed, including wage payments?

_____

_____

...equipment, property and other assets are inventoried and maintained?

_____

_____

## *QUICK CHECK*

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| Overall, how effective are your institution's accounting procedures in ensuring complete, accurate, timely and well-documented transactions? | _____ | _____ | _____ |
| Overall, how effective have your fiscal controls been in minimizing error and loss? | _____ | _____ | _____ |

## 4. AUDITS

a. How often is a financial audit of your institution conducted? Who conducts it?_____

b. Is an attempt made to retain the same competent independent certified public accountant year after year so that there is continuity in the audit process?_____

c. Do the audit findings include specific recommendations for improvement? What recommendations have been made?_____

_____

_____

_____

d. What steps has the institution taken to strengthen any areas of weakness noted in previous audit reports?_____

_____

_____

_____

e. Does the institution maintain at least the following in secure, fireproof locations:

...a cash receipt journal_____

...a cash disbursement journal_____

...a payroll register_____

...a checkbook_____

...a general ledger with up-to-date information on assets, liabilities, fund balance, income and expense by program?_____

...source documentation to support each entry in the account records?_____

### *QUICK CHECK*

| | Not likely | Somewhat likely | Very likely |
|---|---|---|---|
| At the present time how likely is your institution to receive a "clean" audit report--that is, to have an independent team of auditors certify that the institution has accurate, complete records and is soundly managed in accord with generally accepted accounting principles? | _____ | _____ | _____ |

## 5. SECTION SUMMARY

a. What can be done to improve the institution's budgeting process?

b. How can the institution's financial reporting be improved?

c. What improvements should be made in accounting procedures?

d. What should be done to ensure greater financial control?

e. What does the institution need to do to encourage a clean audit report?

# D. Personnel Management

Why is it that some institutions seem plagued with personnel problems--incompetent employees, poor performance, constant complaints and grievances, turnover, strife--while others do not? A large part of the answer lies in the institution's approach to personnel management, as documented in personnel policies and procedures and applied in day-to-day practice.

Good personnel management can be viewed as a cycle that begins before an employee is hired, with appropriate selection and hiring practices, and continues throughout the employee's tenure, with development of skills and abilities over time, and resolution of questions or problems as they occur. At every stage, good personnel management involves letting people know what is expected of them, and what they can expect from the institution. This information should be available for review in the form of written policies and procedures, or an employee handbook. Good management also involves keeping personnel records, to protect both the employee and the institution.

This section will help you assess these aspects of your institution's approach to personnel management.

## 1. OVERALL PERSONNEL POLICIES AND PROCEDURES

a. Does the institution have an employee handbook, or a personnel policies and procedures mannual?_____

Does the handbook include information on:

...the institution's mission and goals?_____

...organizational structure and lines of authority?_____

...job categories and related qualifications?_____

...employee benefits (including conditions of eligibility)?_____

...wage, hour and salary determinations?_____

...holidays and vacations?_____

...the performance evaluation process?_____

...promotion policy?_____

...disciplinary procedures?_____

...grievances and appeals?_____

...staff development and training?_____

...volunteers' and consultants' roles, rights and responsibilities?

_____

b. Check through the book. How well do the written policies reflect the way things are actually done? In what areas is the practice different from the official policy?_____

_____

_____

_____

_____

c. In these areas, is the problem with the policy or the practice?_____

_____

_____

_____

_____

Does the institution:

...provide a copy of the handbook to all employees?_____

...notify all employees of any changes in personnel policies and procedures?_____

...explain employee policies and procedures to new employees at an initial orientation session?_____

...review and update the information in the handbook periodically?_____

_____

d. How does the institution ensure that all personnel, both paid staff and volunteers, are familiar with current policies and procedures?_____

_____

_____

_____

_____

_____

## *QUICK CHECK*

How would you rate your personnel policies and procedures? Look at them in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o <u>The theory</u> (How well have personnel issues been thought through?) | _____ | _____ | _____ |
| o <u>The documentation</u> (Are policies written down? Is the employee handbook complete and up-to-date? Do employees have the information?) | _____ | _____ | _____ |
| o <u>The practice</u> (to what extent are the differences between what's written and what's done?) | _____ | _____ | _____ |
| o <u>The review process</u> (to what extent are staff able to participate in decision-making?) | _____ | _____ | _____ |

## 2. RECRUITMENT AND HIRING

a. Do your institution's recruitment and hiring policies and practices fit with your mission and goals? For example, how do you encourage applications from people living in and representative of the community?_____

_____

_____

b. Is the institution in compliance with equal employment opportunity and affirmative action requirements?_____ What policies and procedures have been set up to assure equality of opportunity? Affirmative hiring?

_____

_____

c. Do you have an established policy for recruitment and hiring?_____

Describe how it indicates:

...specific methods for identifying, selecting and hiring staff._____

_____

...who will participate in the selection process._____

_____

...kinds of objective selection criteria to specify when starting the search._____

_____

d. Is each interviewer and applicant provided a written job description? Does it include:

...job duties and responsiblities?_____

...reporting and supervisory relationships?_____

...education, training or skills required?_____

...community experience required?_____

e. Are vacant positions filled by qualified persons within two to four months?_____

f. Are volunteers from the community recruited? How?_____

_____

_____

*QUICK CHECK*

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| How successful is your institution in recruiting and hiring staff who are both competent and committed to the institution's philosophy and goals? | _____ | _____ | _____ |
| How effective has the institution been in recruiting volunteers? | _____ | _____ | _____ |

## 3. STAFF DEVELOPMENT

a. Does your institution have a staff development program? What opportunities does it offer for on-the-job training and continuing education?_____

_____

_____

b. Is the program institutionalized--that is:

...Is there a qualified person responsible for the program?_____

...Is training based on assessment of staff needs?_____

...Have staff development objectives been identified?_____

...Are the long-range plans of the institution considered in planning the program?_____

...Have resources for the program been identified, including outside community resources?_____

...Do people participate willingly and evaluate efforts positively?_____

...Is there evidence that the program improves performance?_____

c. What are the most pressing development needs for:

...instructional staff?_____

_____

_____

...administrative staff?_____

_____

_____

...support staff_____

_____

_____

...other employees and volunteers_____

_____

_____

d. Is a semi-annual performance appraisal conducted for all employees?_____

To what extent is the appraisal process:

...objective--that is, based on defined criteria?_____

_____

...open--that is, with results discussed individually and in depth with each employee?_____

_____

_____

...linked to staff development opportunities?_____

_____

e. How does the performance appraisal process encourage people to strive for higher levels of achievement and community service?

f. How does the institution recognize and reward staff who perform their duties effectively and strive for professional improvement?

g. Can you cite examples of changes in administrative or instructional priorities that have come about as a result of staff development activities?

h. How does the institution recognize and provide incentives for volunteer efforts?

*QUICK CHECK*

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| How successful is your institution in identifying staff development needs? | | | |
| How successful is your institution in developing the abilities of its staff through training or other activities? | | | |

## 4. QUESTIONS, GRIEVANCES, AND APPEALS

a. What opportunities exist for employees to discuss personnel issues with their supervisors?

b. How does the institution encourage surfacing of issues before they become

the cause of burnout, turnover, or poor performance?_____

_____

_____

c. What procedures have been set up to discuss and review staff suggestions or complaints?_____

_____

d. To what extent do staff consider personnel policies to be relevant to the mission and goals of the institution?_____

_____

e. Do staff believe that personnel policies and procedures are applied fairly and equitably? What complaints have been made?_____

_____

_____

f. Is there any process in place by which a personnel decision can be questioned or appealed? What is it?_____

_____

g. What has been the percentage of staff turnover for each of the past three years? Explain the reasons._____

_____

_____

_____

## *QUICK CHECK*

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| How successful would you say the institution has been in encouraging open discussion of personnel issues and complaints? | _____ | _____ | _____ |
| How successful has it been in minimizing staff burnout, turnover, and poor performance? | _____ | _____ | _____ |

## 5. PERSONNEL RECORDS

a. Does the institution maintain a personnel file for each employee, including volunteers?_____ Does the file include, at a minimum:

...application for employment?_____

...records of references?_____

...proof that required credentials exist?_____

...name and address of someone to contact in an emergency?_____

...wage and salary information?_____

...performance appraisals?_____

...commendations and awards?_____

...counseling or displinary action, if any?_____

b. How is the confidentiality of personnel records ensured?_____

_____

*QUICK CHECK*

| | Not very | Somewhat | Very |
|---|---|---|---|
| How complete, accurate and up-to-date are your institution's personnel records? | _____ | _____ | ____ |

## 6. SECTION SUMMARY

a. In what areas of personnel management is the institution doing the best job of managing its human resources?_____

_____

_____

_____

b. What areas of personnel management most need strengthening? What could be done to improve conditions in these areas?_____

_____

_____

_____

c. What specific steps should be taken to further develop the professional competence and improve the work of staff?_____

_____

_____

_____

# E. Planning

For many job-seekers, one of the most difficult moments in the search comes when the interviewer asks, "Where do you see yourself in five years?" The applicant hesitates, wanting to appear ambitious but realistic, purposeful but adaptable, and wondering about what context to use for the response--salary? authority? area of expertise?

The question is even tougher when asked of a community based organization. It takes hard work to sort through multiple--and possibly conflicting--goals and decide among them. The work is especially hard when needs are much greater than the resources available to address them. The work is not made easier when the institution is committed to ensuring support for its decisions by involving community people, staff, and program participants in the planning process.

Planning may be difficult, but it is crucial. Change is inevitable. Planning gives it direction, and ensures that the institution will develop as it needs to. In this section we will look at three kinds of plans: program plans, financial plans, and fundraising plans.

The long-range program plan describes and charts the goals, objectives and activities for all major programs and functions of the institution for the next three to five years. The planning process is a cooperative one, involving participation and discussions among board members, staff, participants, graduates, and community residents. Both current and anticipated community needs must be taken into account, as well as participants' academic, counseling and support needs.

The long-range financial plan projects expected and needed resources for the next three to five years. It is an essential component of the long-range plan, and the basis for determining fundraising priorities.

The fundraising plan addresses not only strategies to raise needed resources, but also ways to achieve income diversification, independence, and financial stability. In developing the plan the institution should consider a variety of fundraising options, including charging tuition, identifying philanthropic funding sources, grass roots activities, pursuing grants and contracts, investment opportunities, and forming for-profit ventures.

The questions below will help you assess both the processes and products of planning.

## 1. LONG-RANGE PROGRAM PLANNING

a. Does the institution have a written long-range plan?_____

b. Examine the plan. Is it complete? What programmatic and administrative functions are included?_____

_____

_____

_____

c. Does the plan:

...provide a statement of overall goals, as well as program objectives linked to those goals?_____

...identify tasks, needed resources, time frames, and check points for meeting each objective?_____

...cover operations and activities for the next three to five years?_____

...include objectives and activities to ensure both the personal growth of program participants and the development of the community?_____

...address all aspects of the institution's function, including communication, governance, fundraising, and other administrative concerns?_____

...identify strategies and methods for coordinating services and sharing resources with other agencies in the community?_____

...contain an evaluation section, describing ways to assess the extent to which goals are achieved?_____

d. What planning process is used to develop the long-range plan?_____

_____

_____

e. To what degree is the process:

...cooperative? (Does it involve active participation among board members, staff, participants, graduates, and community residents?)_____

_____

_____

...formal? (Are both the process and the product approved by the governing board?)_____

_____

...linked to review of mission and goals? (Is a review of mission, goals and policies conducted as part of the formal planning process, and is revision in mission and goals allowed for?)

...documented? (Are minutes kept of planning discussions? Are board members, staff, participants and other community representatives familiar with proposed plans?) Describe the documentation available.

f. What documentation of community and learner needs exists to aid in program planning? (Note: for questions and suggestions about identifying learner and community characteristics and needs, see Part IV of this Workbook).

g. How is this information used in program planning?

h. How are the results of prior evaluations or self-studies used in planning?

i. How is the long-range plan used to guide shorter-term operations? For example, how is the plan used to:

...define staff responsibilities and objectives for the current year?

...monitor staff progress

...orient new staff, volunteers and board members?

j. Is a plan for evaluation design included as part of the long-range plan? Describe how the evaluation design indicates responsibilities for eval-

uation, methods for data collection, and ways to use the information.

k. How often is an evaluation of goal achievement conducted? How is the information used to guide future planning?

l. Is the plan reviewed and updated annually? To what extent has operational reality matched annual projections?

## 2. FINANCIAL PLANNING

a. Does the institution have a written long-range financial plan? How does it:

...identify needed funds (or ranges of funds) for the various categories indicated in the long-range program plan?

...identify likely sources of funds to meet the institution's needs?

...identify areas in which fundraising strategies to secure needed resources must be developed, and the amounts required?

b. To what extent has operational reality matched annual financial projections?

## 3. FUNDRAISING PLANNING

a. Does your institution have a fundraising plan covering both short-term (12-month) and long-term (three- to five-year) objectives? Does the plan address a variety of strategies or options, including:

...charging tuition or obtaining fees or dues for services?_____

...identifying philanthropic funding sources, including foundations, corporations and individuals?_____

...grassroots fundraising strategies?_____

...identifying federal, state and local funding sources?_____

...developing for-profit economic ventures, consistent with the institution's mission and goals?_____

...investing surplus (non-federal) funds in interest-bearing accounts?_____

b. Is the plan fully developed? Does it:

...identify specific activities and time frames for accomplishing each strategy or objective?_____

...allocate adequate resources (dollars and people) to each strategy or objective?_____

...designate one person to coordinate the various strategies?_____

c. To what extent has the plan been implemented? How do results compare with projections?_____

_____

_____

_____

d. Does the plan for obtaining tuition, dues or fees reflect current cost per unit of service (for example, per contact hour or per student per semester)? Is the tuition/fee plan fully articulated, including:

...a fee scale based on ability to pay?_____ How does the fee scale ensure adequate funds without penalizing those who can't afford to pay?

_____

_____

...criteria for assessing ability to pay?_____ How are they applied?_____

_____

_____

...billing and collection procedures?_____ To what extent are the

procedures in place and working well?_____

_____

_____

...refund options?_____ What are they?_____

_____

_____

...procedures for reviewing and resolving delinquent accounts?_____
To what extent are they in place and working well?_____

_____

_____

e. How does the institution's plan for obtaining philanthropic support:

...differentiate between <u>needs</u> and <u>wants</u>--what the institution must have to survive and what it would like to have to flourish and expand?_____

_____

_____

_____

...draw on the institution's past fundraising history?_____

_____

_____

...involve board, staff, and volunteers in fundraising?_____

_____

_____

_____

...specify institutional and dollar targets and set dates for completing fundraising assignments?_____

_____

_____

_____

f. What are the current targets for philanthropic support?_____

_____

_____

_____

g. How successful has the institution been in obtaining philanthropic support? How have amounts obtained compared with targets?_____

_____

_____

h. Is the plan for grant/contract development fully supported? For example is there:

...a staff person responsible for identifying funding opportunities, deadlines, formats and other requirements?_____

...an established procedure for proposal development and production?_____

...an internal quality review of proposals prior to submission?_____

i. What follow-up activities are regularly conducted after a proposal is submitted?_____

_____

j. To what extent are the proposals submitted of high quality (responsive to guidelines, clear in stating what will be done and in describing the institution, free of typos, etc.)_____

_____

_____

k. What percentage of submissions have resulted in obtaining grants and contracts?_____ How has analysis of past successes and failures been used to guide further development?_____

_____

_____

l. Are plans for developing for-profit ventures and other investment opportunities based on a thorough review and assessment of several investment options? Do the criteria for assessment include:

...congruence with the institution's mission and goals?_____

...demand for the services or products under consideration?_____

...profit and income likely to be generated?_____

...institutional capability to organize and manage the investment or venture?_____

...education and employment opportunities for program participants?_____

...education and employment opportunities for community residents?_____

...contribution to the well-being and quality of life of the community?

_____

m. What investments--including income-generating ventures--has the institution undertaken in the last 3 years?_____

_____

n. How are the results of past investment ventures being used to guide future plans?_____

_____

o. How is fundraising accountability maintained? That is, how does the institution make sure that fundraising plans are turned into funding reality?_____

_____

_____

_____

## QUICK CHECK

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| Please rate your institution's long-range planning process in terms of: | | | |
| o Involves participation of board, staff, learners, graduates, and community members | _____ | _____ | _____ |
| o Uses information about community and learner needs and the institution itself to develop objectives and activities | _____ | _____ | _____ |
| o Integrates fiscal and program considerations | _____ | _____ | _____ |
| Please rate your institution's long-range planning document(s) in terms of: | | | |
| o Complete in scope-- programs, administrative and communication functions, fundraising, evaluation are covered | _____ | _____ | _____ |
| o Fully articulated--indicates who, what, by when, and how for each component | _____ | _____ | _____ |
| How useful is the long-range plan? Is it an effective guide to the ongoing operation and future development of the institution? | _____ | _____ | _____ |

## 4. SECTION SUMMARY

a. What could be done to improve your institution's planning process?_____

b. What could be done to improve the planning documents--to make them more complete, comprehensive, or useful to staff?_____

c. What could be done to encourage greater use of long-range plans in day-to-day operations?_____

d. What could be done to better ensure that the projections and goals included in the long-range plans are achieved?_____

# F. Community Relations and Communications

In one sense, every section of this workbook deals with community relations and communications. Questions throughout have asked you to look at how the institution learns about and responds to community needs, and makes the community an integral part of planning and learning.

In this section we will limit our concern to those aspects of organizational function which directly and primarily affect the nature and quality of external relations and communications, including:

- o The institution's public information program
- o Two-way public communications
- o Community outreach and recruitment efforts
- o Ways of overcoming barriers to participation
- o Relationships with other organizations
- o Involvement in community affairs and professional associations

A public information program is a planned approach to communicating with the public and building community awareness and support. The program usually involves written informational materials (catalogues, brochures, pamphlets, newsletters, annual reports, etc.), and may involve media-based public awareness campaigns and informal communications as well.

Two-way communications, including personal contacts and presentations to influential groups in the community, allow in-depth communication with a small audience. Such activities are often helpful in making people aware of how they can use the institution's programs and services; they can also let the institution know the extent to which the community supports its programs and policies.

Outreach and recruitment should be a carefully planned effort, with identified objectives and activities, and roles for board members, staff, graduates and current participants. Outreach involves not only contacting the community and identifying new participants, but also finding out why any dropouts left the program.

Overcoming barriers to participation involves, first of all, finding out what those barriers are, and then developing a plan of action to overcome them. None of this can be done in a vacuum--community people must be consulted.

Relationships with other organizations are a means to stretch scarce resources, or combine resources to serve the community better. To avoid possible conflicts the nature and anticipated outcomes of each relationship should be clearly specified.

Involvement in community affairs and in activities of professional associations by board members, staff and participants can help mobilize community resources and catalyze change. Such activities also ensure that the institution is perceived as being part of the community and responsive to its needs. Professional affiliations help promote community based education and upgrade staff and board members' skills.

## 1. PUBLIC INFORMATION PROGRAM

a. What sort of public information program does your institution have to develop community support for mission, programs, and future plans?_____

_____

b. Is the program formalized? That is:

...Is it included in the long-range plan?_____

...Does the plan identify the objectives of the program, the activities, and the target audience?_____

...Is there someone identified as responsible for coordinating all information/communication activities?_____ What does this job entail?

_____

_____

_____

...Has an adequate budget been allocated? What does it include?_____

_____

_____

_____

...Is the program's effectiveness assessed regularly? How?_____

_____

_____

_____

_____

## 2. PUBLIC INFORMATION MATERIALS AND MEDIA

a. What written materials are produced that:

...inform people about the institution's mission and goals?_____

_____

...describe programs and services?_____

_____

...point out to community residents the accessibility and relevance of programs?_____

_____

...describe the institution's accomplishments?_____

_____

...inform people about future plans?_____

_____

b. How are these materials distributed?_____

_____

_____

_____

c. How are inventories maintained so that adequate numbers of materials are available for distribution as needed?_____

_____

_____

_____

d. Among the available materials is there an annual report, approved by the board?_____ Does it include a description of the institution's accomplishments and a financial statement?_____ Who receives the annual report?_____

_____

e. How is the effectiveness of these materials assessed?_____

_____

f. How are the media (newspapers, radio, tv, etc.) used to build public awareness?_____

_____

g. On what occasions are media presentations made by the CEO or other representatives of the institution? On what occasions are press releases issued?_____

_____

## *QUICK CHECK*

Please rate your institution's public information program in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Priority--the program is given appropriate consideration in planning and budgeting | _____ | _____ | _____ |
| o Comprehensiveness--all necessary and important information is available | _____ | _____ | _____ |
| o Presentation--information is clearly, accurately and attractively presented | _____ | _____ | _____ |
| o Reach--information is communicated to the community, including potential participants | _____ | _____ | _____ |
| o Cost effectiveness--the program avoids duplication of effort and uses available resources wisely | _____ | _____ | _____ |

## 3. TWO-WAY COMMUNICATIONS

a. What sorts of personal contacts and meetings are a regular part of your institution's public communications effort?_____

_____

_____

b. Do representatives of the institution make presentations at community forums and neighborhood meetings? Do they make workshop presentations? Describe the nature and purpose of such presentations._____

_____

_____

_____

c. What kinds of literature are made available at meetings or visits?_____

_____

_____

d. How are individual questions and group discussions encouraged?_____

_____

_____

e. What records are kept of meetings and other contacts?_____

_____

_____

f. What follow-up is routinely done?_____

_____

_____

g. Awareness-building meetings often provide opportunities to assess community support for the institution's goals and program activities. How are these opportunities taken advantage of?_____

_____

_____

_____

h. What on-going relationships has the institution developed with community leaders? List the names and titles of people who are met with regularly.

_____

_____

_____

_____

i. Do the institution's objectives for meetings include:

...keeping the community informed about what's happening to the institution?_____

...maintaining community leaders' support?_____

...assessing the institution's impact on the community?_____

h. What evidence is there that community leaders support the institution and its work?_____

_____

_____

i. What ongoing relationships does the institution have with agency officials in the community?_____

_____

j. Do the objectives for agency meetings include:

...determining ways to better coordinate programs and services?_____

...developing appropriate referral systems?_____

## 4. OUTCOMES OF COMMUNICATION AND PERSONAL CONTACT EFFORTS

a. How is the effectiveness of a meeting or visit assessed?_____

_____

_____

b. How are individual assessments used in reviewing the public information and communications program as a whole?_____

_____

_____

c. What records does your institution maintain to indicate community awareness and support of its programs?_____

_____

d. Do the files include records of the number, frequency and appropriateness of referrals and requests from other agencies?_____

### *QUICK CHECK*

Please rate the effectiveness of your public information/communications program in:

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| o Reaching community residents to build awareness of goals and programs | _____ | _____ | _____ |
| o Reaching community leaders to build awareness of goals, programs and concerns | _____ | _____ | _____ |
| o Discovering community reactions to goals and programs | _____ | _____ | _____ |
| o Reaching agency people to build a basis for collaboration and referral | _____ | _____ | _____ |
| o Gaining the support of the community in general | _____ | _____ | _____ |
| o Gaining the support of community leaders and agency personnel | _____ | _____ | _____ |

## 5. OUTREACH AND RECRUITMENT

a. What are the major components of your institution's outreach and recruitment strategy?_____

_____

_____

How does the strategy address needs to:

...increase enrollment and participation in programs?_____

_____

_____

...ensure a proper "fit" between participants' needs and the institution's ability to meet them?_____

_____

_____

...retain participants and minimize dropouts?_____

_____

_____

...recruit community volunteers?_____

_____

_____

b. Is the outreach and recruitment program formalized? That is:

...Is there a written plan that describes outreach/recruitment goals, objectives and activities?_____

...Are there one or more individuals designated as responsible for coordinating outreach and recruitment activities? What are their specific responsibilities?_____

_____

_____

...Have roles been defined for board members, staff, program graduates and current participants? What are they?_____

_____

_____

_____

_____

...What procedures have been set up for referral to other agencies when it turns out that the institution cannot meet an individual's needs?_____

_____

c. What records are kept to document outreach efforts?_____

_____

_____

Do these records identify the nature, frequency and outcomes of all contacts made?_____

d. How does the institution monitor and assess the effectiveness of recruitment activities?_____

_____

_____

Does your assessment include attempts to determine why program non-completers have dropped out?_____

e. How has assessment information been used to modify outreach and recruitment plans?_____

_____

_____

*QUICK CHECK*

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| Is your institution devoting enough effort to outreach and recruitment? | _____ | _____ | _____ |
| How successful is the institution in identifying and recruiting people who can benefit from its programs and services? | _____ | _____ | _____ |
| How effective is the institution in recruiting volunteer staff from the community? | _____ | _____ | _____ |

## 6. OVERCOMING BARRIERS TO PARTICIPATION

a. What are the major factors that inhibit people from taking advantage of the institution's programs and services?_____

_____

_____

b. How does the institution go about identifying such factors?_____

_____

_____

_____

c. Has the institution considered as a possible barrier people's lack of awareness of the programs being offered? If so, what is being done to overcome this barrier?_____

_____

_____

d. Is a shortage of programs that meet people's needs a barrier? If so, what is being done to make programs more responsive to community needs?_____

_____

_____

_____

e. Is acceptability a barrier? That is, do people find unacceptable:

...the institutional setting? In what way?_____

_____

...the staff? In what way?_____

_____

...fellow participants? In what way?_____

_____

...the institution's mission, goals, or philosophical approach? In what way?_____

...program requirements? In what way?_____

_____

...conditions for participation? In what way?_____

_____

If so, what is being done to overcome the barrier?_____

_____

_____

_____

f. Is lack of access a barrier? That is, do people fail to participate because:

...transportation is a problem?_____

...the facility has no provision for the handicapped?_____

...they can't afford the fees or tuition?_____

...they have language problems?_____

...they can't meet eligibility requirements?_____

If so, what is being done?_____

_____

_____

_____

g. Is there a formal action plan for overcoming identified barriers? That is:

...Is the plan an integral part of the institution's long and short range plans?_____

...Have roles been identified for board members, staff, graduates and participants? What are they?_____

...If organizational or program changes are required, are they included in the plan?_____

*QUICK CHECK*

How effective has the institution been in:

| | Not very effective | Somewhat effective | Very effective |
|---|---|---|---|
| o Identifying potential business to participation | _____ | _____ | _____ |
| o Mobilizing resources and developing action plans to overcome these barriers | _____ | _____ | _____ |
| o Overcoming the barriers to participation so that enrollment and retention are no longer problems | _____ | _____ | _____ |

## 7. RELATIONSHIPS WITH OTHER ORGANIZATIONS

a. What formal inter-organizational arrangements does the institution have with other education and service agencies?_____

_____

_____

b. What informal arrangements exist?_____

_____

c. Do these arrangements increase the effectiveness of services for community residents? How?_____

_____

_____

_____

d. Do the arrangements increase program participants' access to resources and services? How?_____

_____

_____

_____

e. How is the precise nature of each arrangement made clear?_____

_____

_____

_____

Do the agreements:

...spell out the nature of the relationship?_____

...define the responsibilities of each participating group?_____

...identify what resources are shared?_____

...provide a mechanism for planning and reviewing outcomes?_____

...provide a mechanism for resolving conflicts should they arise?_____

## QUICK CHECK

| | Not very effective | Somewhat effective | Very effective |
|---|---|---|---|
| How effective has the institution been in developing and maintaining working relationships with other organizations? | _____ | _____ | _____ |
| How effective have these relationships been in increasing opportunities for participants? | _____ | _____ | _____ |
| How effective have these relationships been in increasing the resources available to community residents? | _____ | _____ | _____ |

## 8. INVOLVEMENT IN COMMUNITY AFFAIRS AND PROFESSIONAL ASSOCIATIONS

a. In what ways do board members and program staff participate in neighborhood and community activities, particularly activities designed to improve the community's well-being and quality of life?_____

b. What commissions, planning boards, or task forces concerned with community change do they serve on? What community groups are they members of?

c. To what extent do program graduates and participants involve themselves in community affairs?_____

d. What memberships in professional associations do board members and staff maintain?_____

e. What associations does the institution belong to?_____

f. Do these memberships involve active participation in organizations which:

...promote the concept and movement of community based education?_____

...provide assistance and training to help build organizational problem-solving skills?_____

d. How does the institution encourage participation in meetings, seminars or workshops?_____

## QUICK CHECK

| | Not really | To some extent | Very much so |
|---|---|---|---|
| Are board members and staff active in community affairs? | _____ | _____ | _____ |
| Are board members and staff perceived as community leaders? | _____ | _____ | _____ |
| Do board members and staff participate in activities of professional organizations and associations? | _____ | _____ | _____ |

## 9. SECTION SUMMARY

a. Is the institution able to mobilize community response and support in times of institutional crises? What activities could the institution undertake now to better ensure such support?_____

b. What could be done to improve the quality or availability of written materials?_____

c. What could be done to gain greater media coverage?_____

d. What could be done to make two-way communication efforts more productive for the institution?_____

e. What would improve the institution's process for outreach and recruitment?

f. What additional information does the institution need regarding barriers to participation?

g. What could the institution do to overcome barriers to participation?

h. How could the institution increase the effectiveness of its working relationships with other institutions?

i. What could be done to build a better referral system?

j. What could be done to encourage greater community involvement by board members and staff?

k. What could be done to strengthen the institution's affiliations with professional organizations and associations?

## G. Data for Decisions

Use the following chart to help you identify sources of information that can help you in assessing organizational effectiveness.

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| **A. GOVERNANCE** | |
| 1. The board's legal status and structure | o By-laws or constitution<br>o Articles of Incorporation<br>o Perception of board members and key staff<br>o Statements of mission and goals |
| 2. Composition and roles of board | o By-laws or constitution<br>o Institutional records--Management Information System (MIS) board data<br>o Perceptions of board members and key staff |
| 3. The decision-making functions of the board, its relationship with chief executive and opportunities for leadership training | o By-laws<br>o Minutes of board meetings<br>o Minutes of committee meetings<br>o Formal documents that describe responsibility and procedures for the board to exercise its authority<br>o Perceptions of board and key staff about the needs and opportunities for board training and development<br>o Documents/records of board training activities such as workshops, seminars, etc. |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| **B. ADMINISTRATION** | |
| 1. The role of the chief executive officer (CEO) | o By-laws or constitution<br>o Position description<br>o Data from interviews with CEO, board members and key staff (How do perceptions differ?) |
| 2. Administrative Structure | |
| o Organizational structure | o By-laws or constitution<br>o Statements of mission and goals<br>o Organizational charts and descriptions of institutional structure<br>o Position descriptions of key administrative staff |
| o Interpersonal or interunit relationships | o Administrative manual with job descriptions and functional relationships among positions/ units<br>o Perceptions of board members, staff of various organizational units (How do perceptions vary from written descriptions? Also, how do perceptions vary among different types of respondents?) |
| 3. Operational policies and procedures, including standards of quality | o Operations manual or guide<br>o Perceptions of staff<br>o Observation of procedures<br>o Samples of administrative records, documents and products (note quality, accuracy, readability of documents) |
| 4. Adopting and Managing Change | |
| o The process | o Board, staff and participant perceptions of the frequency and nature of changes and overall morale<br>o Minutes of planning meetings preceding implementation of changes (Note who is involved in the process) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| o The effects | o Documents that describe needs and outline proposed organizational changes<br>o Personnel records (What is the staff turnover rate? If percent of turnover is high, why?)<br>o Perceptions of staff, board members and participants |
| **C. FISCAL MANAGEMENT** | |
| 1. The budget process | o Past and current annual budgets or operating statements--revenues, expenditures, changes in fund balances<br>o Most recent audit of accounts<br>o By-laws<br>o Annual reports<br>o Statements of mission and goals<br>o MIS financial resources and accounting data<br>o Perceptions of financial officer, key board members, staff and participants |
| 2. Financial reporting | |
| o Frequency and type of reports | o By-laws<br>o Budget variation reports<br>o Quarterly financial reports<br>o Annual reports<br>o MIS financial recources and accounting data |
| o Use of budget/financial reports in program planning | o Most recent audit of accounts<br>o Minutes of program planning meetings that included discussions about costs<br>o Perceptions of board members, key staff, and others involved in planning |
| 3. Financial procedures and controls | o Written policies, if available, that guide accounting procedures, controls and practices |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o MIS data regarding financial resources and accounting<br>o Interviews with financial officer and bookkeeper<br>o Most recent audit of accounts<br>o Observation of procedures and controls<br>o Review of control forms and accounting systems |
| 4. Audits | o Audit reports<br>o Letters listing any conditions imposed by funding agencies<br>o Reports of non-compliance, if any<br>o Perceptions of board members and key staff |
| **D. PERSONNEL MANAGEMENT** | |
| 1. Existence of policies, and procedures, staff awareness and involvement in the development policies, and differences between practice and official policy | o Personnel handbook or written personnel policies<br>o Minutes of staff meetings<br>o Staff perceptions (How knowledgeable are they about personnel policies? How are they involved in the review and update of policies? How do written policies differ from actual practice?) |
| 2. Recruitment and hiring | |
| o Documentation of policies and practices | o Documents that describe recruitment hiring and equal employment opportunity/affirmative action policy and practice |
| o Outcomes of policies and practices | o Staff and volunteer perceptions (What is the recruitment process? How does it relate to the mission and goals?) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o Employee records and MIS personnel data (Do the data reveal any unusual hiring patterns in terms of sex, age, race, ethnic background, community experience, professional background, education, etc.?) |
| 3. Training opportunities for for staff and volunteers | |
| o Nature of policies and opportunities | o Personnel policies or other documents addressing staff development opportunities and incentives |
| | o Reports on staff development programs (e.g., statements of objectives and activities, descriptions of workshop or seminar outcomes, etc.) |
| | o Annual budget--are lines allotted for staff development activities? |
| o Participation | o Records of attendance at conferences, seminars, workshops and other continuing education activities |
| | o Perceptions of key individuals responsible for coordinating staff development activities |
| | o Participant evaluations of staff development activities |
| o Linking performance appraisal to staff development | o Employee records of performance appraisals, commendations, and disciplinary actions (Is there evidence of participation in staff development activities in areas indicated by performance review?) |
| | o Staff and volunteer perceptions of performance appraisal process and staff development opportunities |
| 4. Grievance and appeal policies, procedures and practices | o Personnel policy statements |
| | o MIS personnel data |
| | o Records of appeals |
| | o Staff perceptions of procedures and how they are implemented |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| 5. Personnel records | o MIS personnel data<br>o Interviews with personnel officer or key staff (How is confidentiality assured? What information is included?)<br>o Observation of employee records (Are records kept up-to-date in a safe and secure location?) |
| **E. PLANNING** | |
| 1. The long-range program plan | |
| o Existence and contents | o Past and current program planning documents<br>o Annual plans and reports<br>o Reports to the board, to funding agencies<br>o Program evaluation reports |
| o The planning process | o Minutes of planning meetings<br>o Statements of staff members and participants (Are they familiar with the process? How are they involved?)<br>o Statements of board members (How is the board involved? Is the document submitted for official approval? When?) |
| o Types of information available for use in formulating the plan (including mission and goals, learner and community needs, and organizational capabilities to address needs | o Evaluation reports<br>o MIS learner characteristic and outcome data<br>o MIS community characteristics and needs<br>o Statements of mission and goals<br>o MIS program characteristics data<br>o MIS personnel data |
| o Evaluation, review and update of plan | o Evaluation component included in program plans<br>o Perceptions of staff responsible for evaluating attainment of planned objectives<br>o Annual budget (Are resources allocated for evaluation of plans?) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o Perceptions of key staff and board members (How are evaluation data used in the annual review and update of plans?) |
| 2. The financial plan--how it identifies program costs and resources needed to carry out institutional plans | o Financial component of long-range program plans<br>o MIS financial/resources and accounting data<br>o Perception of board members and key staff, particularly program managers involved in securing a stable base of funding for their programs |
| 3. The fundraising plan | |
| o The elements of the plan | o Financial/fundraising components of annual and long-range plan<br>o Perceptions of staff and board members responsible for implementing the plan<br>o Records of fundraising activities<br>o MIS fundraising data |
| o Approaches to self-sufficiency and diversification of income sources, including: | |
| - Tuition/fees for services | o Fee or tuition policies (Fee scales, billing and collection procedures, refund options, etc.)<br>o Perceptions of admission officers, financial aid officers, counselors and sample of program participants (Are fee scales applied fairly? Are bills sent and paid promptly?) |
| - Philanthropic support | o MIS fundraising data (Are records of contacts with agencies and individuals complete and up-to-date?) |
| - Grants and contracts | o Proposals submitted (Have proposals been submitted on time? Are they responsive to announced scope of work or evaluation criteria?) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| - Investment options | o Perceptions of staff involved in proposal writing (Is the process efficient? What is the "climate" when proposals are due?)<br>o Perceptions of board members and key staff<br>o Financial reports<br>o Reports of investigations of possible ventures |
| **F. COMMUNITY RELATIONS AND COMMUNICATIONS** | |
| 1. Public information program<br>o The elements of the program | o Long-range plans (Are plans for an information effort included?)<br>o Annual budget (Are funds allotted for public information/dissemination activities?)<br>o Perceptions of key staff responsible for the public information program<br>o Materials--brochures, catalogues, pamphlets, reports, media reports, etc. |
| o The audience | o Perceptions of a sample of program participants and community residents (Was the information received? By what channel? How was it used?) |
| 2. Information materials | o Records of where and when items were disseminated<br>o Copies of the annual report, other materials (What is the purpose of each document? Is information accurate, well presented, well written?) |
| 3. Two way communications<br>o Face-to-face efforts to communicate with and inform constituents | o Records and documentation of community forums and workshop presentations |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o Perceptions of staff, board members and learners involved in such presentations<br>o Observations of event(s), if possible<br>o Perceptions of community leaders and residents who attended presentations<br>o Information requests (What are the incidence and nature of follow-up requests for information?) |
| o Contacts with community leaders and representatives of other organizations | o Perceptions of board and staff members who make contacts<br>o Perceptions of community leaders and representatives of other agencies (What coordination is taking place? How could communication be improved?) |
| 4. Outcomes of two-way communication efforts | o Staff interviews to determine how useful personal contacts are in generating support, increasing awareness and participation, keeping a pulse on the needs of the community, and in general, serving better the needs of constituents. |
| 5. Outreach and recruitment | |
| o The elements of the strategy | o The outreach/recruitment component of the long-range plan<br>o Annual budget (Are resources alloted for recruitment activities?)<br>o Perceptions of staff responsible for carrying out the plan |
| o The effectiveness of the strategy | o MIS learner data--enrollment, participation, retention<br>o Review of records of activities and outcomes, including nature and frequency of contacts<br>o Progress or evaluation reports of outreach activities |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o Perceptions of involved staff and of a sample of program participants and community residents |
| o How information is used to modify outreach strategies | o Statements of key staff and board members |
| 6. Overcoming barriers to participation | |
| o The institution's efforts to identify the barriers | o Discussions with key staff members and program participants |
| o Lack of awareness as a possible barrier | o Survey of a sample of area residents |
| | o Perceptions of community leaders (What is their own awareness and how do they perceive the awareness and attitudes of others in the community?) |
| | o Interviews with new program participants to see how they found out about the institution and their reasons for wanting to participate |
| o Availability or shortage of appropriate programs as a possible barrier | o MIS community needs data and related MIS program data (Is there an appropriate match or fit?) |
| | o MIS data about other organizations in the community. (Are these organizations offering similar or more effective programs to meet the same real needs?) |
| | o Perceptions of community leaders and representatives of other agencies in the community regarding your institution's effort to meet the needs of residents |
| o Acceptability as a possible barrier, including cultural, psychological, linguistic or attitudinal obstacles | o Satisfaction and attitude questionnaires to measure participants' views about<br>- physical settings and surroundings<br>- acceptance of staff and fellow participants |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | - the institution's mission, goals and philosophical approach<br>- program requirements<br>- alternative educational options |
| o Geographic accessibility as a possible barrier, including inadequate transportation, hard-to-reach facilities, lack of provision for handicapped persons, inflexible scheduling | o MIS learner data--especially enrollment, participation and drop-out data. (Do socio-economic, racial, ethnic, or other characteristics suggest any factors that might point to acceptability as a potential barrier?)<br>o A map of major routes to the institution. (Calculate the number of different public vehicle transfers that are needed to reach the school. What are the waiting times, the costs?)<br>o Class schedules (How flexible are scheduling arrangements?) |
| o Admission and eligibility requirements as a possible barrier | o MIS learner data (As a group, do residents of certain areas in the community tend to participate less than those living in other areas?)<br>o Examination of facilities to determine whether they are accessible by physically handicapped persons<br>o Admission policies and decisions (Are they appropriate and valid given the degree requirements? For example are entry language/academic competencies actually needed? Does the institution tend to systematically exclude groups of individuals having certain characteristics?) |
| o Fees and tuition as a possible barrier | o Fee and tuition schedules (How are fees determined and how do they compare to those charged by other institutions offering similar programs? Are alternatives in the event individuals are unable to pay workable? Are people made aware of alternatives?) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o MIS learner data--especially the drop-out data--to see why individuals dropped out |
| o The institution's efforts to reduce or eliminate barriers | o Perceptions of staff, board, participants and community leaders<br>o Proposals to funding agencies, boards for specific actions to eliminate or reduce barriers |
| 7. Relationship with other organizations | |
| o Purpose, type, nature and outcomes of relationships or arrangemets | o MIS affiliation data<br>o Memoranda of understanding or signed contracts with other groups<br>o Perceptions of board members and staff involved in negotiating or implementing agreements<br>o Perceptions of representatives of groups with whom the institution maintains an arrangement<br>o Perceptions of learners who have used shared resources and services. |
| 8. Board, staff and learner involvement in community affairs and professional associations | o MIS board and personnel data<br>o Statements of board members and staff |

## H. Next Steps

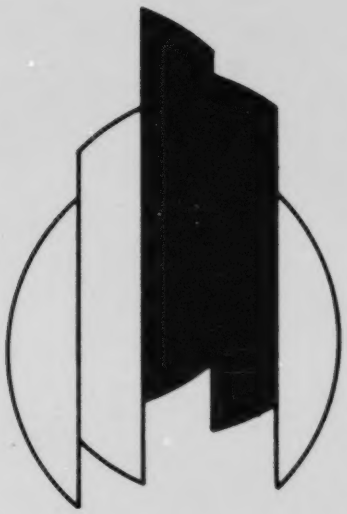
In completing Part II you have probably identified several areas in which improvements can be made. Look back at the section summaries for sections A through F and review your suggestions. Then use the chart on the next two pages to summarize the actions that need to be taken. There is space on the chart to note who should be involved in each activity, and the time frame for its completion.

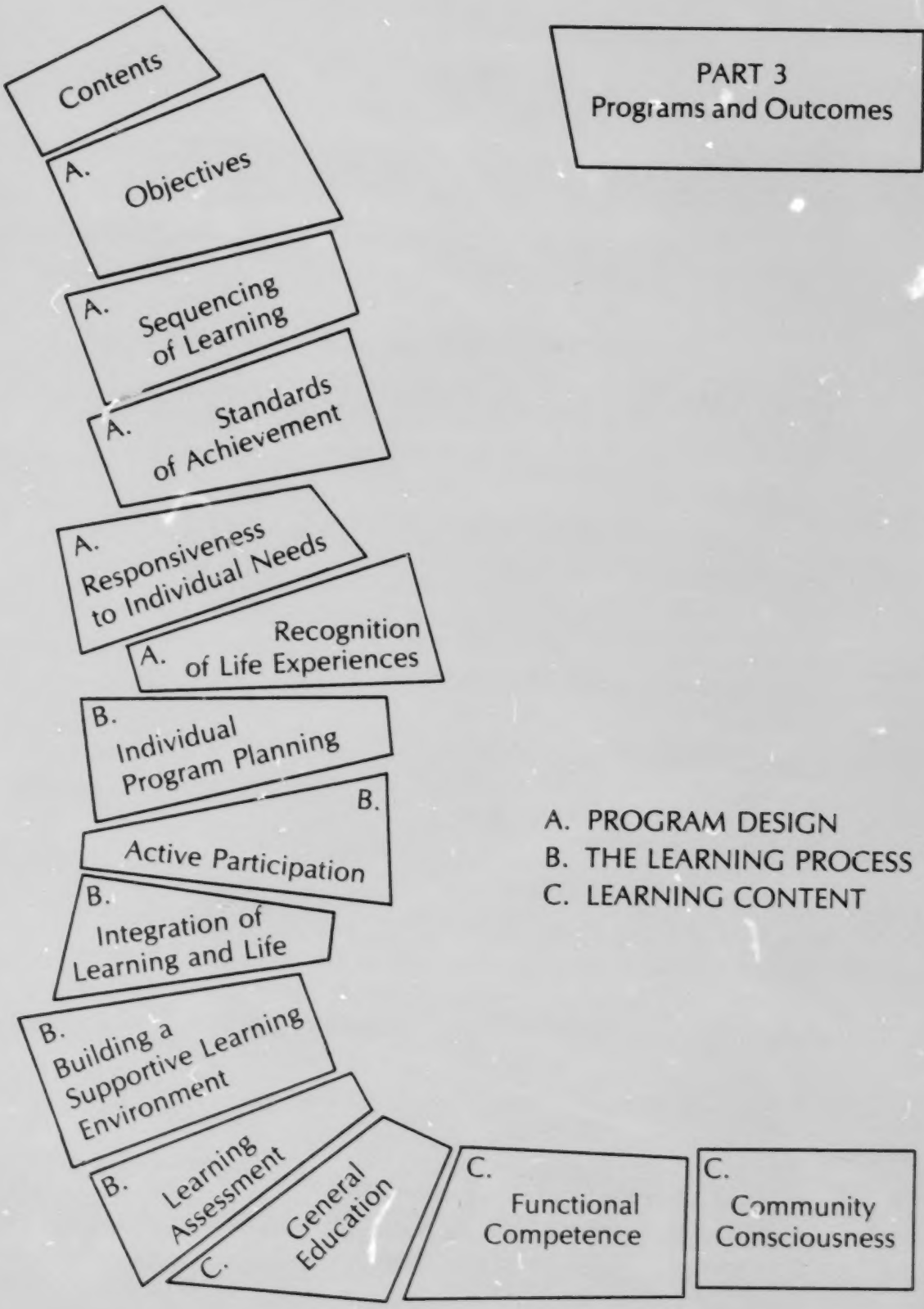
| ORGANIZATION | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

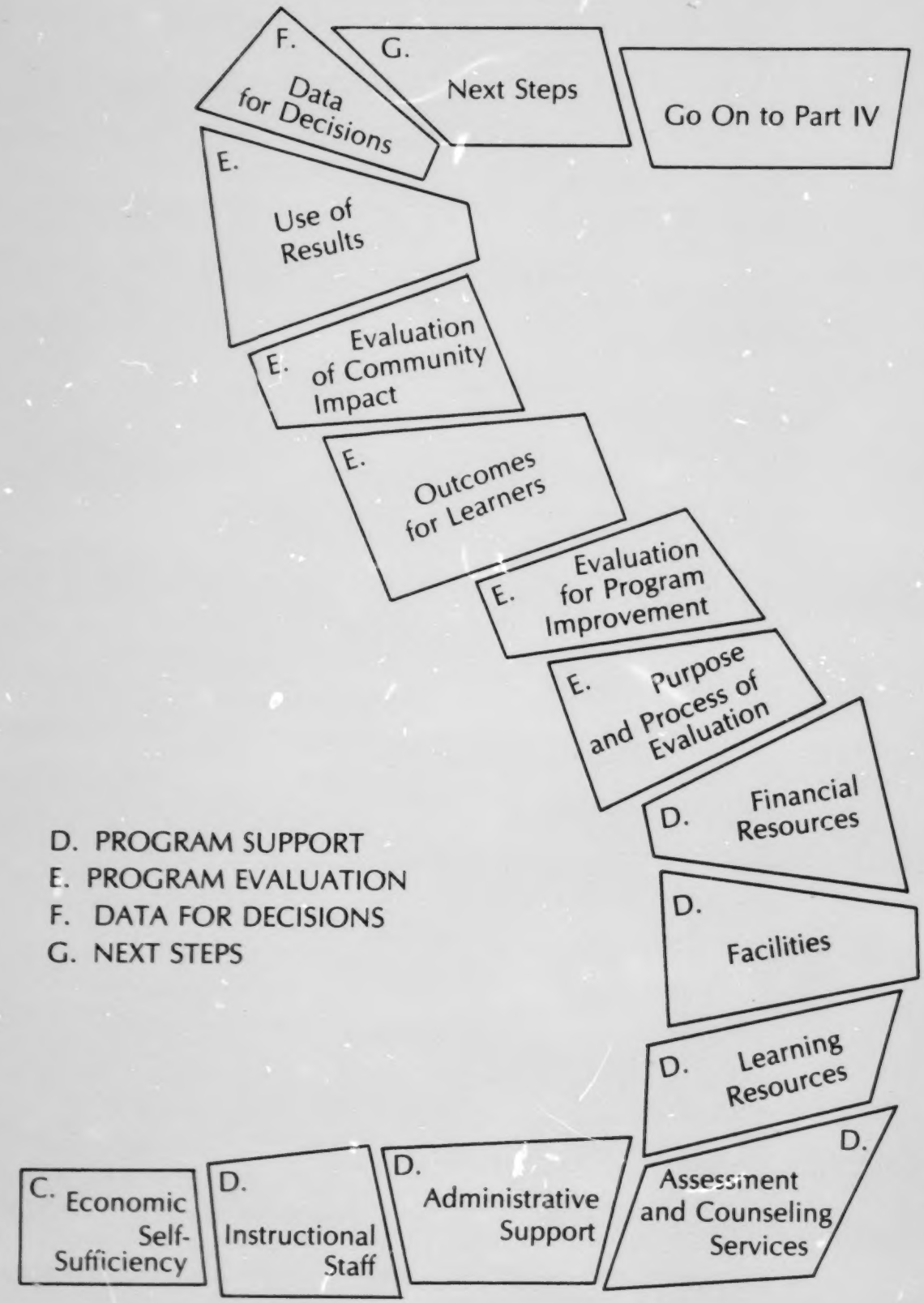
| ORGANIZATION | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

| ORGANIZATION | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

# PART III
## Programs and Outcomes




Contents
A. Objectives
A. Sequencing of Learning
A. Standards of Achievement
A. Responsiveness to Individual Needs
A. Recognition of Life Experiences
B. Individual Program Planning
B. Active Participation
B. Integration of Learning and Life
B. Building a Supportive Learning Environment
B. Learning Assessment
C. General Education
C. Functional Competence
C. Community Consciousness
PART 3
Programs and Outcomes
A. PROGRAM DESIGN
B. THE LEARNING PROCESS
C. LEARNING CONTENT




D. PROGRAM SUPPORT
E. PROGRAM EVALUATION
F. DATA FOR DECISIONS
G. NEXT STEPS

# OVERVIEW

An educational or training program, as the term is used here, is a sequence of courses or learning activities which are designed to help learners achieve a set of pre-determined learning objectives. For some programs, meeting the objectives will involve attainment of a degree, certification, or licensure. More importantly, however, it will involve attainment of specific learning outcomes--measurable changes in learners' knowledge, skills, attitudes and levels of competence.

Programs, so defined, are a community based educational institution's primary means of carrying out its mission and goals. In addition, many institutions also operate one or more community development projects, also involving a sequence of activities leading to attainment of specific objectives. Both kinds of activities will be considered in Part III.

We will ask you to look at five aspects of program effectiveness: program design, the learning process, learning content, support for programs, and evaluation of program processes and outcomes. Of course, to some extent the separations are arbitrary. It is difficult, for example, to look at the design of programs without taking into account the outcomes they are intended to achieve. Similarly, it is difficult to separate the content of learning in a community based program for the interactive process through which the learning takes place.

Many of the questions in this section reflect themes already discussed in the section on mission and goals--an emphasis on linked individual and community development, a commitment to serving people with special needs, and an emphasis on cooperation and active participation, for example. The section also emphasizes the importance of assessment and evaluation in measuring learners' progress and improving the quality of programs as a whole.

# A. Program Design

Program design can be considered at two important levels: (1) the level of curriculum design, at which outcomes, sequences, activities and materials are developed for programs and courses, and (2) the level of individual program design, at which learning plans are developed for individual participants. In this section, we will ask you to assess primarily the first level of program design, but with some attention to how the design process allows attention to learners' individual needs, experiences, and learning objectives.

The questions are organized under five headings:

- Objectives
- Sequencing of Learning
- Standards of Achievement
- Responsiveness to Individual Needs
- Recognition of life experiences

Objectives for programs and courses state the specific outcomes which learners are expected to achieve. Since programs are the means by which the institution achieves its purpose, objectives are generally derived from and consistent with the mission and goals. At the same time, they must be flexible enough to take into account participants' individual learning needs. Setting clear objectives based on goals and needs is the first step in effective program design.

Sequencing of learning is not a matter of stringing together a series of educational experiences like beads on a chain. Rather, it requires integrating a variety of learning experiences to move learners toward achieving their objectives. In assessing sequencing--whether of individual learning experiences within courses or major learning activities, or of these courses or activities within programs--you will want to look at the ways in which experiences and activities are made progressively more challenging, while avoiding duplication or fragmentation.

Standards of achievement assure that learners are adequately prepared for a program or course, that learners and instructors are aware of the extent to which progress is being made or further work is needed, and that objectives are

achieved before credits or degrees are awarded. They are thus an important determinant of program quality.

Responsiveness to individual needs is one of the hallmarks of community based programs. In assessing this aspect of program design you will be looking at how individual objectives and prior experiences are incorporated into the learning design, how time requirements, content and format are varied to respond to individual needs, and how materials and activities take into account learners' social, economic and cultural backgrounds.

Recognition of relevant life experiences is also a characteristic of community based approaches to program design. Of course, if formal recognition or credit is to be provided, standards must be in place for measuring the relevance of life experiences and evaluating an the degree to which they have actually contributed to competency development.

This section will help you assess each of these aspects of program design.

## 1. OBJECTIVES

a. Have learning objectives been defined for each program offered by the institution? Where are they stated?_____

_____

_____

b. How do program designers use the following information in developing and reviewing program objectives:

...mission statements?_____

_____

_____

...statements of institutional goals?_____

_____

_____

...results of community needs assessments?_____

_____

_____

...results of learner needs assessments?_____

_____

c. To what extent are program objectives consistent with the institution's mission and goals? In other words:

...Is each educational program and community development activity clearly directed at achieving one or more institutional goals?_____ Please explain how._____

...Have any of the institution's goals been overlooked in program offerings?_____ If so, why?_____

...Are resources being allocated to program activities that could be considered outside the scope of the stated mission and goals?_____ How are such expenditures justified?_____

d. To what extent are the objectives for each program outcome-oriented? How do the objectives identify:

...what changes in knowledge, attitudes and behavior learners are expected to manifest?_____

...what specific competencies or skills learners are expected to attain?

...the level of achievement expected?_____

...how the expected achievement is to be measured?_____

...as appropriate, the effects of learners' changes or achievements on the community?_____

e. How does the program design allow for meeting of learners' own objectives as well as those which program designers formulate?_____

_____

_____

_____

_____

f. To what extent are participants aware of the program objectives and of the specific learner expectations they incorporate?_____

_____

_____

_____

_____

## QUICK CHECK

How successful have program designers been in formulating objectives that are:

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| o consistent with goals? | _____ | _____ | _____ |
| o responsive to learner needs? | _____ | _____ | _____ |
| o responsive to community needs? | _____ | _____ | _____ |
| o stated in terms of outcomes? | _____ | _____ | _____ |
| o specific in defining expectations? | _____ | _____ | _____ |
| o flexible enough to incorporate participants' individual objectives? | _____ | _____ | _____ |

## 2. SEQUENCING OF LEARNING

a. For each educational or training program or community development project, is there a detailed written description of the scope and sequence of courses or major learning activities? Where are these descriptions published?_____

_____

_____

b. For each course or learning activity, is there a description of the sequence of learning experiences that comprise it? Where are these descriptions published?_____

_____

_____

c. To what extent are the descriptive materials available to learners for use in planning their individual programs?_____

_____

_____

d. Within each program or project what is the sequence of courses or major learning activities? Within each course or major activity what is the sequence of learning experiences? To answer this question, attach existing program or course descriptions if they provide enough detail, or complete the Learning Activity Sequences chart on the next page.

Note: The chart format provides space to indicate the program or project title; indicate the courses or major activities that comprise the program; and list up to twelve learning experiences that are part of the course or activity. Photo-copy the chart format to provide additional chart blanks. The right-hand column provides space for rating the sequencing of learning experiences, as discussed in question (d).

FORMAT FOR CHARTING
LEARNING ACTIVITY SEQUENCES

Program or Project Title _____

| Course or Key Activity | Sequence of Learning Experiences Within Course or Activity | | Rating of Experience Sequence Poor Fair Good |
|---|---|---|---|
| | 1. _____ | 7. _____ | |
| | 2. _____ | 8. _____ | |
| | 3. _____ | 9. _____ | |
| | 4. _____ | 10. _____ | |
| | 5. _____ | 11. _____ | |
| | 6. _____ | 12. _____ | |

Program or Project Title _____

| Course or Key Activity | Sequence of Learning Experiences Within Course or Activity | | Rating of Experience Sequence Poor Fair Good |
|---|---|---|---|
| | 1. _____ | 7. _____ | |
| | 2. _____ | 8. _____ | |
| | 3. _____ | 9. _____ | |
| | 4. _____ | 10. _____ | |
| | 5. _____ | 11. _____ | |
| | 6. _____ | 12. _____ | |

d. Is the sequencing of learning experiences within a given course or learning activity effective? Do the various experiences work together in an integrated and progressive fashion? In other words, does the sequence of experiences evidence:

...progressive challenge--experiences structured to be progressively more challenging to learners?

...logical development--continuity and a logical flow between experiences?

...relevance to objectives--justification for the inclusion of each experience, without unnecessary or duplicative requirements?

... integration of different types of experiences--coordination and mutual reinforcement among the different types of experience offered (e.g., community field work and library research)?

Note: Use the right-hand column of the Learning Activity Sequences chart on the preceding page to answer this question. Photo-reproduce enough copies of the chart to allow you to list each course or activity. Use the right-hand column to rate how effective program designers have been in sequencing learning experiences within each course or activity.

e. From your examination of the sequencing of learning experiences, what improvements need to be made? Note your suggestions below.

Suggestions for re-sequencing experiences within courses or activities:

f. Now that you have assessed the sequencing of the elements of learning into courses or activities, please assess the sequencing of these larger units within programs. For each program or project, are courses or major learning activities linked in an integrated and progressive fashion?

Note: Use the Format For Assessing Programs' Course or Activity Sequence below to answer this question. Photo-reproduce enough copies to allow you to list each program or project separately, and note your rating and suggestions for improvement on the form.

PROGRAM_____

| RATING | Poor | Fair | Good | SUGGESTIONS: |
|---|---|---|---|---|
| Progressive Challenge | | | | |
| Logical Development | | | | |
| Relevance to Objectives | | | | |
| Integration of Experiences | | | | |
| Overall Rating of Sequence | | | | |

PROGRAM_____

| RATING | Poor | Fair | Good | SUGGESTIONS: |
|---|---|---|---|---|
| Progressive Challenge | | | | |
| Logical Development | | | | |
| Relevance to Objectives | | | | |
| Integration of Experiences | | | | |
| Overall Rating of Sequence | | | | |

## 3. STANDARDS OF ACHIEVEMENT

a. For each program, have appropriate entry-level standards or prerequisite requirements been established?_____ Where are these standards or requirements described?_____

_____

_____

If descriptions are not available for each program, please explain why not._____

_____

Note: Part IV Section C of the workbook provides a form for listing entry-level, interim-level and exit-level standards for all programs, together with related assessment measures.

b. To what extent does the design of each program include provision for assessing entering learners' experience and skills in order to determine entering levels of achievement? How is this assessment linked to the standards or pre-requisites?_____

_____

_____

_____

c. What is the assessment process? That is, for each program:

...What assessment methods are regularly used?

| PROGRAM | METHODS FOR ASSESSING ENTRY-LEVEL SKILLS |
|---|---|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

...Who conducts the assessment?_____

_____

_____

...How are assessment results used to counsel learners and help them establish their learning objectives?

...If the initial assessment indicates that an individual would be better served in another program, or needs special preparation, what referral or special assistance is provided?

d. For each program, have interim-level standards been established as bench marks for assessing and monitoring on-going progress? Where are these standards described?

Note: If formal descriptions are not available for each program, but progress assessment is nonetheless taking place, Part IV Section C of the workbook provides a form for listing the standards and related assessment measures.

e. For each program to what extent is progress assessed on a regular basis?

f. What is the progress assessment process? That is:

...What methods are regularly used?

| PROGRAM | METHODS FOR ASSESSING ON-GOING PROGRESS |
|---|---|
| | |
| | |
| | |

...When, how often, and by whom are assessments conducted?_____

...How are the results used? To what extent are the results used to revise learning plans or recommend ways to improve learner performance?

g. Has the institution established exit-level completion, certification or graduation standards?_____ Where are these standards and related degree requirements described?_____

h. Are the standards appropriate? That is:

...Are the standards consistent with the mission and goals of the institution? Please explain._____

...Are the standards directly related to the objectives of the programs? Please describe how._____

...Are degree requirements defined in terms of acquired objectives, competencies, knowledge, skills or attitudes? Please provide examples._____

...Are the standards directly related to requirements specified by learning or accrediting agencies? Please provide examples._____

...If degree requirements are defined in terms of courses or credit hours,

can the institution demonstrate that successful completion of coursework is related to objective or competency attainment? Please explain._____

_____

_____

_____

i. What assessment procedures are used to ensure that objectives or competencies are acquired and degree requirements are met? That is, for each program:

...What testing or assessment methods are used (e.g., before and after tests, essays, work samples, performance exams, portfolios, staff observations, etc.)?

| PROGRAM | METHODS FOR ASSESSING EXIT-LEVEL ACHIEVEMENTS |
|---|---|
| _____ | _____ |
| | _____ |
| | _____ |
| _____ | _____ |
| | _____ |
| | _____ |
| _____ | _____ |
| | _____ |
| | _____ |
| _____ | _____ |
| | _____ |
| | _____ |
| _____ | _____ |
| | _____ |
| | _____ |
| _____ | _____ |
| | _____ |
| | _____ |
| _____ | _____ |
| | _____ |
| | _____ |

...How do assessment procedures distinguish among levels of competence or of attainment of objectives?_____

_____

_____

_____

_____

_____

_____

...Are there alternative ways for participants to demonstrate competence or attainment of objectives? Are multiple assessment procedures used? Please explain.

...Are testing procedures norm-based, comparing each learner's performance to a group of peers? Are they criterion-based, comparing performance to pre-established standards? Do procedures vary according to program objectives? Please explain.

j. In what ways does the institution help learners who, based on the assessment procedures used, have not yet achieved objectives or met the standards for graduation?

k. Are entry-level, interim-level and exit-level standards and assessment procedures applied consistently? How is this assured?

## *QUICK CHECK*

Please rate the extent to which each of the following statements is true.

| | Not true at this time | Partly true | Generally quite true |
|---|---|---|---|
| o Entry-level standards or prerequisites have been defined for all programs. | | | |
| o Entry-level assessments identify gaps in learner knowledge or experience and suggest alterna- | | | |

| | Not true at this time | Partly true | Generally quite true |
|---|---|---|---|
| tive programs or ways to overcome deficiencies. | _____ | _____ | _____ |
| o Interim-level achievement standards have been defined for all programs. | _____ | _____ | _____ |
| o Interim assessments yield concrete and useful information about progress learners are making and ways they need to improve. | _____ | _____ | _____ |
| o Exit-level standards or objective-based degree requirements have been defined for all programs. | _____ | _____ | _____ |
| o Exit-level assessments are appropriate given the nature and objectives of each program and the mission and goals of the institution. | _____ | _____ | _____ |
| o Entry, interim and exit-level standards make clear the degree of attainment or level of competence required for participation and completion. | _____ | _____ | _____ |
| o Assessment procedures are effective in distinguishing among levels of competence. | _____ | _____ | _____ |

## 4. RESPONSIVENESS TO INDIVIDUAL NEEDS

a. To what extent is incorporation of learner's own objectives for learning a program design priority? Please explain. _____

_____

_____

_____

_____

b. Do programs, projects, courses and learning activities, provide a range of

options to accommodate participants' varying learning needs? How is this accomplished? Please provide examples.

Note: Compare descriptions of programs, projects, courses and learning activities (or the Learning Activities Sequence chart you completed for question 1 of this section) with descriptions of learner needs.

c. How are individual variations in learning rate or in time available to work at attaining objectives allowed for?

d. To what extent have program designers allowed variable entry and exit points to accommodate learners' different needs?

e. What special programs or activities are there to help individuals with flaws in their academic background, physical disabilities, or special learning needs?

f. What evidence is there that such special provisions have been effective in helping individuals achieve their learning objectives?

g. How do the criteria for selecting materials for programs take into account participants' social, economic, cultural and ethnic characteristics?

h. How are these characteristics taken into account in the design of course materials and activities?_____

_____

_____

_____

## *QUICK CHECK*

How effective has the institution been in:

| | Not very effective | Needs some work | Very effective |
|---|---|---|---|
| ...incorporating meeting of learners' own objectives into program design? | _____ | _____ | _____ |
| ...providing developmental programs or activities to help individuals with special needs? | _____ | _____ | _____ |
| ...ensuring that all learners, whatever their learning needs or rates of competency attainment, achieve their learning objectives? | _____ | _____ | _____ |
| ...providing materials and activities that are consistent with learners' social, economic, cultural and ethnic characteristics? | _____ | _____ | _____ |

## 5. RECOGNITION OF LIFE EXPERIENCES

a. How and to what extent are participants' previous life experiences considered in:

...assessing entry-level knowledge and competencies?_____

_____

_____

...designing individual learning programs?_____

_____

_____

...awarding academic credit for prior educational attainment?_____

b. What formal recognition of relevant life experiences does the institution provide?_____

c. What criteria have been set up for determining and recogizing relevant life experiences?_____

d. How are knowledge and skills derived from prior life experiences evaluated?_____

## *QUICK CHECK*

How successful has the institution been in:

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| ...identifying relevant life experiences of participants | _____ | _____ | _____ |
| ...considering participants' life experiences in designing individual programs | _____ | _____ | _____ |
| ...awarding appropriate formal recognition or credit for life experiences | _____ | _____ | _____ |

## 6. SECTION SUMMARY

a. What can be done to improve the formulation of program objectives? (Consider the development/review process, the form in which objectives stated, and the scope and content of the statements).

b. What can be done to improve learners' access to and awareness of objectives and related program expectations?

c. How can the sequencing of learning experiences within courses or major learning activities be improved? Who needs to be involved?

d. How can the sequencing of courses or learning activities within programs or projects be improved? Who needs to be involved?

e. What changes need to be made in the way the institution defines and applies quality standards for learner performance? (Consider entry-, interim- and exit-level standards and assessment procedures.)

f. How could the institution be more responsive to learners' individual needs?

g. How could the institution more effectively recognize learners' life experiences?_____

_____

_____

_____

_____

## B. The Learning Process

The preceding section asked you to look at learning programs from a program designer's perspective. Here we will ask you to look at programs from the perspective of individual learners, and examine the following aspects of the learning process:

- o Individual program planning
- o Active participation
- o Integration of learning and life
- o Building a supportive learning enviornment
- o Learning assessment

Individual program planning is a learning activity in itself, and the first step in the learning process. By setting their own learning objectives--within the constraints imposed by institutional standards--and developing individual learning plans, learners take charge of their own learning and ensure that their educational experience will be relevant to their needs. Support and guidance must, however, be provided.

Active participation is a key characteristic of the learning process in community based programs, and a logical extension of the concept of participation in planning. However, "learning by doing" will only work if experiential activities are designed with participants' learning needs in mind.

Integration of learning and life is another related characteristic of community based learning. Community based programs do not provide "ivory tower" education, but rather integrate their programs with the life of the community. Participants' prior life experiences should serve as a foundation for learning, and the community itself be a resource center and laboratory for learning.

A supportive learning environment is one in which participants and staff help each other succeed, and work together to help other learners and the community. An important factor in creating a cooperative, non-competitive environment is the quality of the relationships between learners and instructional staff.

Learning assessment should be viewed as part of the learning process, a means of helping learners move toward their objectives. Among the characteristics of this form of learning assessment are before- and after-testing that measures the "value added" progress participants are making, and on-going counseling that offers feedback and guidance to help participants improve their performance.

## 1. INDIVIDUAL PROGRAM PLANNING

a. How do learners participate in establishing their own learning and development objectives?_____

_____

_____

_____

b. What counseling services are available to help participants develop realistic and appropriate objectives?_____

_____

_____

_____

c. Are individual learning plans developed? How do they indicate:

...outcome-oriented learning objectives?_____

_____

...time frames for completing objectives?_____

_____

...approaches for meeting objectives (including experiential learning activities and use of community resources)?_____

_____

...who will be responsible for facilitating learning?_____

_____

...methods for assessing progress and achievement?_____

_____

d. How often are plans reviewed?_____ By whom?_____

How is information from interim progress assessments used in reviewing and revising plans?_____

_____

e. How well is the planning process working? That is, are objectives being met and are participants able to take responsibility for their own learning?

## *QUICK CHECK*

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| How successful is the individual program planning process in making programs fit learners, rather than fitting learners into programs? | | | |

## 2. ACTIVE PARTICIPATION

a. Aside from developing learning plans, in what ways do learners play an active role in controlling their learning environment and participating in decisions affecting their education?

b. To what extent do learning activities and instructional strategies force students to act and make judgements rather than be passive recipients of information? Please explain.

c. How are opportunities for structured internships, on-the-job learning, field study or other forms of experiential learning incorporated into the learning process?

d. What is the process by which experiential learning activities are tailored to respond to participants' individual learning needs?

*QUICK CHECK*

| | Not very effective | Somewhat effective | Very effective |
|---|---|---|---|
| How effective has the institution been in encouraging participants to play an active role in learning? | _____ | _____ | _____ |

## 3. INTEGRATION OF LEARNING AND LIFE

a. How do experiential and other learning activities take into account participants' past and present life/work experiences?_____

_____

_____

_____

b. In what other ways are learning experiences integrated with each individual's on-going life in the community?_____

_____

_____

_____

c. To what extent do community development projects offer participants the opportunity to meet individual learning objectives?_____

_____

_____

_____

_____

*QUICK CHECK*

| | Not very effectively | Somewhat effectively | Very effectively |
|---|---|---|---|
| How effectively does the institution integrate learning with participants' ongoing life in the community? | _____ | _____ | _____ |

## 4. BUILDING A SUPPORTIVE LEARNING ENVIRONMENT

a. How does the institution foster a cooperative, supportive environment for learning? That is:

...How are competitive values and "win-lose" situations minimized?_____

_____

_____

_____

...How do learning activities or projects emphasize collaborative, cooperative approaches to problem solving?_____

_____

_____

_____

...How is the need to accept responsibility for the welfare of others stressed in program offerings?_____

_____

_____

_____

...To what extent do learners and instructional staff see their relationship as egalitatiran and collaborative, rather than heirarchical?_____

_____

_____

_____

_____

_____

## QUICK CHECK

To what extent are the following statements true?

| | Not true | Somewhat true | Quite true |
|---|---|---|---|
| o Competitive values are minimized | ___ | _____ | ____ |
| o Learners recognize their responsibility to care for others and promote others' well being | ___ | _____ | ____ |
| o Learners and instructors work together on problems of mutual concern | ___ | _____ | ____ |
| o The relationship between learners and instructors is more egalitarian than hierarchical | ___ | _____ | ____ |

## 5. LEARNING ASSESSMENT

a. Does the institution periodically measure the extent to which participants are achieving their objectives and how their knowledge, behaviors and attitudes have changed as a result of their learning experiences?_____
To what extent is the assessment/testing process non-competitive?_____

b. Are measures repeated at various points in the learning process (e.g., before, during and after participation) so that "value added" progress can be assessed? Please explain._____

c. Are assessment results provided to participants?_____ How?

d. How are test results or feedback used to provide guidance and modify learning plans?_____

*QUICK CHECK*

| | Not much support | Some support | Good support |
|---|---|---|---|
| To what extent do testing and assessment support the learning process? | _____ | _____ | _____ |

## 6. SECTION SUMMARY

a. What could be done to give more emphasis to learners' own objectives in designing learning programs?_____

c. How can the institution encourage participants to play a more active role in learning?_____

_____

_____

_____

_____

d. What could be done to more effectively integrate learning with participants' lives and work?_____

_____

_____

_____

_____

e. What could be done to build a more supportive, non-competitive learning environment?_____

_____

_____

_____

_____

f. How could learning assessment strategies be used to better support the learning process?_____

_____

_____

_____

_____

## C. Learning Content

In no way is this section intended to prescribe the content of your institution's programs. Content is derived from individual and program objectives, which in turn are derived from individual and community needs and institutional goals. It cannot be imposed. Still, the people community based educational institutions serve will tend to share certain kinds of educational needs--some universal, some related to conditions in the low-income, underemployed, underserved communities they live in. These needs should certainly be addressed.

Like all learners, people participating in community based programs need to achieve breadth of understanding, to encompass in some holistic way the physical, emotional and mental universe they live in. Many degree-granting institutions address this need by providing a general education curriculum. Community based general education offerings are characterized by an emphasis on not only acquiring knowledge but using it to analyze and resolve problems.

Many learners come to community based programs to acquire the basic skills and competencies they need to function successfully in the community and the society as a whole. The functional competence these learners desire is usually associated with the ability to read, write, listen, speak, compute and solve problems at a resonable level of profeciency, within the context of their lives and work.

People also come hoping to acquire the ability to achieve economic self-sufficiency. Since the vitality of a community depends in large measure on the abilities and commitment of its members, the institution will not want to encourage people it trains to leave the community to find work. Rather, programs will tend to focus on developing the competencies learners need to either (1) obtain salaried employment in community jobs or (2) create new entrepreneurial or cooperative ventures.

The shared community development goals of community based educational institutions suggest another important area of program content. A community develops when its residents and institutions are committed to working together to bring about change. Community based educational institutions can assist this process by developing community consciousness in learners--an attitude of

community responsibility and concern for the well-being of others, and an ability to analyze community problems and effect positive change.

The questions which follow will help you assess the ways in which your institution's programs address the content areas of general education, functional competence, economic self-sufficiency and community consciousness. You will want to have program and course or activity descriptions (or the Learning Activity Sequences charts you completed in assessing program design) and detailed syllabi to refer to as you proceed.

## 1. GENERAL EDUCATION

a. How do the institution's programs address learners' needs to develop a broad base of understanding and proficiency contributing to their intellectual growth, personal development, and ability to deal with uncertainty and change?

b. How dc such general education programs develop participants' abilities to:

...understand their own history and culture?

...understand others' history and culture?

...demonstrate an aesthetic sensibility?

...comprehend the major systems that affect their lives, including atomic, molecular, organic, socio-cultural, political and economic systems?

...develop life-long learning interests?_____

...understand their own motivations and behaviors?_____

...apply knowledge in the analysis and solving of problems?_____

...apply altruistic and human values and demonstrate concern for human welfare?_____

c. To what extent do general education offerings focus on helping learners apply their knowledge to deal effectively with social and human problems?

d. To what extent do general education offerings focus on helping learners deal effectively with technological changes and the uncertainties that such changes may bring?_____

## *QUICK CHECK*

| | Not very successful | Somewhat successful | Very successful | Not an institutional priority |
|---|---|---|---|---|
| How successful has the institution been in helping learners achieve the breadth of understanding and proficiency they need to fully participate in a complex world? | _____ | _____ | _____ | _____ |

| | Not very successful | Somewhat successful | Very successful | Not an institutional priority |
|---|---|---|---|---|
| How successful has the institution been in helping learners apply the knowledge they gain to analyze problems and bring about change? | _____ | _____ | _____ | _____ |

## 2. FUNCTIONAL COMPETENCE

a. To what extent has the institution defined the basic skills or competencies a person must have acquired before s/he can be considered a fully functioning member of the community and the society? Please describe.

b. How does the institution address persons' needs to acquire such basic skills or functional competencies?

c. How do programs or projects help learners develop proficiency in:

...reading?

...writing?

...listening?

...speaking?

...computing_____

...problem-solving?_____

...other basic skills or competencies? (list)_____

d. How are appropriate levels of proficiency defined and measured? Note your answers on the chart below.

| Skill or Competency Area | Measures of Proficiency |
|---|---|
| READING | |
| WRITING | |
| LISTENING | |

| Skill or Competency Area | Measures of Proficiency |
|---|---|
| SPEAKING | |
| COMPUTING | |
| PROBLEM-SOLVING | |
| OTHER (List) | |

e. Based on these measures, how successful have learners been in achieving desired levels of proficiency?_____

*QUICK CHECK*

| | Not very successful | Somewhat successful | Very successful | Not an institutional priority |
|---|---|---|---|---|
| How effective have the institution's programs been in helping learners acquire the basic skills and competencies they need to be fully functioning members of society? | _____ | _____ | _____ | _____ |

## 3. ECONOMIC SELF-SUFFICIENCY

a. How do the institution's programs help prepare persons to obtain meaningful work?_____

_____

_____

_____

b. If the institution trains learners for positions in specific technical or industrial occupations, have the essential competencies and skills required for those occupations been identified?_____ How are those competencies and skills developed and how is their attainment measured? How successful are participants in achieving desired levels of proficiency?

Note: Photocopy and use the Format for Assessing Attainment of Employment-Related Competencies on the next page to record your answers. It provides space to list desired competency outcomes, describe how they are achieved and how attainment is measured, and assess the extent to which participants have actually acquired the competencies.

Suggestions for improving desired levels of proficiency:

FORMAT FOR ASSESSING
ATTAINMENT OF
EMPLOYMENT-RELATED COMPETENCIES

| COMPETENCY OR SKILL NEEDED | HOW OBTAINED | HOW MEASURED | EXTENT OF ATTAINMENT | | |
|---|---|---|---|---|---|
| | | | Minimal | Fair | Good |
| | | | | | |

c. What percentage of participants in job training programs have:

...completed the training program?_____

...obtained jobs in the field for which they were trained?_____

...successfully met licensure requirements, when required?_____

If percentages are low, please explain why._____

d. How does the institution address the problems associated with lack of good job opportunities in the community?_____

e. If the institution trains learners to create and operate their own small businesses, have the managerial, planning, technical, recordkeeping, financial and marketing competencies they need been identified?_____ How are these competencies developed and how is attainment measured? How successful are participants in achieving desired levels of proficiency?

Note: Photocopy and use the Format for Assessing Attainment of Employment-Related Competencies on the preceding page to record your answers.

f. How does the institution help learners overcome barriers to entrepreneurial activities? That is, how does the institution:

...use community resources to help develop successful entrepreneurs?

...develop community networks to support small-scale enterprises?_____

...promote the development of buying, producing or marketing cooperatives?

...take actions to overcome institutional or legal restrictions that inhibit the formation or operation of small businesses?_____

_____

_____

_____

g. What suggestions do board members, staff and participants have regarding the institution's involvement (or the effectiveness of its involvement) in employment development activities? Note the suggestions below.

Suggestions regarding employment development activities:

## *QUICK CHECK*

| | Not very successful | Somewhat successful | Very successful | Not an institutional priority |
|---|---|---|---|---|
| How successful has the institution been in: | | | | |
| o helping participants acquire general knowledge and skills that will be of use to them in their chosen occupation? | _____ | _____ | _____ | _____ |
| o helping participants acquire the specific competencies required for success in a particular occupation? | _____ | _____ | _____ | _____ |
| o helping participants acquire the entrepreneurial skills needed for self-employment ventures? | _____ | _____ | _____ | _____ |
| o supporting the creation of jobs and new employment ventures within the community? | _____ | _____ | _____ | _____ |

## 4. COMMUNITY CONSCIOUSNESS

a. How do learning activities or experiences help learners develop a sense of concern for the public interest and for the well-being of others?

_____

_____

_____

_____

b. How do learning activities or experiences help learners develop a sense of community identity--a sense of belonging to the community and responsibility for its development?_____

_____

_____

_____

c. How do programs or learning activities help learners acquire the social and political leadership skills they need for effective citizen participation in the solution of community problems?_____

d. How are these skills defined?_____

e. How do programs help learners develop their ability to:

...observe accurately?_____

...amass factual data?_____

...analyze information and events?_____

...develop and weigh alternative solutions to the social and political problems affecting the community?_____

...mobilize community resources in response to problems?_____

...develop plans for action in concert with others?_____

f. In what ways have learners been able to improve conditions in their community?_____

_____

_____

_____

_____

g. What evidence is there that learners' community consciousness is, in fact, heightened as a result of participating in the institution's programs?

_____

_____

_____

_____

## *QUICK CHECK*

| | Not very effective | Somewhat effective | Very effective | Not an institutional priority |
|---|---|---|---|---|
| How effective has the institution been in: | | | | |
| o helping learners develop a sense of community responsibility and concern for others' well-being? | _____ | _____ | _____ | _____ |
| o cultivating learners' abilities to analyze social, political and economic problems confronting the community? | _____ | _____ | _____ | _____ |
| o helping learners develop and apply the skills they need for effective citizen participation in problem-solving? | _____ | _____ | _____ | _____ |

## D. Program Support

If programs are to succeed, they must be adequately supported. The kinds of resources and support services we will ask you to examine in this section include:

- o Instructional staff
- o Administrative support
- o Assessment and counseling services
- o Learning resources, including community resources
- o Facilities
- o Financial resources

Instructional staff--including teachers, learning facilitators, tutors, subject matter experts, or others--must be qualified and knowledgeable in the areas in which they provide assistance. There should be enough staff to allow individual attention to be given each participant.

Administrative support should be available to handle the myriad details associated with maintaining a smooth-running operation and keeping track of its activities.

Assessment and counseling services can play a crucial role in helping learners succeed. All such services should be tailored to meet individual needs, and coordinated to support and reinforce program learning activities.

Learning resources--including instructional materials, reference materials, films, records or tapes, and a variety of community resources--must be readily available when needed. Arrangements with other institutions in the community can help greatly in extending the range of accessible resources. Skilled, trained volunteers can augment paid instructional staff. Library collections, art collections, research facilities, and technical equipment can often be made available through inter-organizational arrangements. Through experiential learning and community development projects, the community and its institutions can become a living laboratory for community based learning.

Facilities must meet local fire, safety and sanitation standards. Within each facility there must be adequate space, light, heat and ventilation for the

use to which it is put. Like resources, space and facilities can often be shared with other organizations in the community.

Financial resources must be adequate to meet the costs of essential programs and services. Programs should not have to suffer because of funding problems or delays. Consistent patterns of resource allocation from year to year should facilitate planning and assure stable development.

## 1. INSTRUCTIONAL STAFF

a. Is each program offered by the instittution adequately staffed to allow for attention to participants' learning needs? In other words:

...Are group meetings or discussion sessions small enough to allow one-on-one interaction?_____

...Are teachers, facilitators or tutors available when participants need them? How much one-on-one contact exists?_____

...Are teachers, facilitators, or tutors able to provide both formal and informal individual help? What kinds of interactions are typical? When and where do they take place?_____

b. How does the institution ensure that staff members are qualified to meet their responsibilities and are, in fact, carrying them out effectively?

c. Do efforts to ensure the quality of instruction include:

...thorough review of instructors', facilitators', and tutors' qualifications for the position prior to hiring? Please explain how this is done.

...formal or informal observation of group sessions and project-related interactions by other staff? How is this accomplished?_____

...use of participant evaluations? How are participants' suggestions reviewed and used?_____

d. If volunteers or peer tutors are used by the institution:

...How are their skills used?_____

...Is their work supervised? By whom and how?_____

...How are they trained in the techniques and philosophy of community based education?_____

e. What efforts does the institution make to actively recruit skilled and competent volunteers from the community to enhance its programs?_____

## *QUICK CHECK*

| Please rate the extent to which each of the following statements is true: | Not true at this time | Partly True | Generally quite true |
|---|---|---|---|
| o Instructors and facilitators are competent and qualified in their area of practice. | _____ | _____ | _____ |
| o Instructors and facilitators provide one-on-one assistance to each participant. | _____ | _____ | _____ |
| o Staff are committed to helping improve the quality of instruction or faciltation. | _____ | _____ | _____ |
| o Participants are pleased with the quality of instruction or facilitation. | _____ | _____ | _____ |
| o Volunteers are used to extend instructional resources. | _____ | _____ | _____ |
| o Volunteers are skilled and competent. | _____ | _____ | _____ |
| o Volunteers are provided training to enhance their skills. | _____ | _____ | _____ |

## 2. ADMINISTRATIVE SUPPORT

a. What administrative support is provided to help instructors, facilitators and volunteers carry out their tasks efficiently?_____

_____

_____

_____

_____

b. Do instructors, facilitators and volunteers feel that administrative support is adequate? What are their recommendations for improving the nature or quality of support?_____

_____

_____

_____

c. What is the relationship between administrative and instructional personnel? How often do they meet to discuss program operations?_____

_____

_____

_____

d. Do administrators have a supervisory role? If so:

...What is that role?_____

_____

_____

_____

...How are administrators involved in training staff and volunteers?

_____

_____

_____

...How are they involved in program review?_____

_____

_____

_____

...What are their qualifications for carrying out such tasks?_____

_____

_____

_____

## *QUICK CHECK*

| | Not enough support provided | Barely enough support provided | Adequate support provided |
|---|---|---|---|
| Please rate the extent to which: | | | |
| o the institution provides adequate administrative support for programs. | _____ | _____ | _____ |
| o the institution provides adequate supervisory support for programs. | _____ | _____ | _____ |

## 3. ASSESSMENT AND COUNSELING SERVICES

a. Please describe the admission, initial assessment, counseling, placement and financial aid services available for participants.

b. Are participants given continuous support for their efforts to achieve their learning objectives? Is peer support used? In what ways?

c. How are academic support, counseling and other services for learners with special needs made an integral part of their program? Please explain.

d. What evidence is there that counseling and other learner support services are effective? In other words:

...How extensively are the services used?

...How have the services reduced programs' attrition rates?

...What other evidence is there to indicate that the counseling services help learners succeed?

e. What is the working relationship between instructors or facilitators and learner support staff or counselors? To what extent do they coordinate and integrate their functions and activities? How often do they meet to plan and discuss strategies for helping learners succeed?

f. Are placement and referral services available for non-completers as well as graduates of the institution's programs?_____

What placement services are provided? With what success?_____

_____

_____

_____

## *QUICK CHECK*

| | Needs not being met | Needs somewhat met | Needs effectively met |
|---|---|---|---|
| How effectively are assessment and counseling services meeting the counseling needs of: | | | |
| o persons just entering the program? | _____ | _____ | _____ |
| o learners progressing according to plan? | _____ | _____ | _____ |
| o program completers? | _____ | _____ | _____ |
| o program non-completers? | _____ | _____ | _____ |
| How effectively are these services meeting the needs of learners with special needs or problems, such as: | | | |
| o academically disadvantaged? | _____ | _____ | _____ |
| o economically disadvantaged? | _____ | _____ | _____ |
| o limited English speaking? | _____ | _____ | _____ |
| o handicapped? | _____ | _____ | _____ |
| o displaced homemakers? | _____ | _____ | _____ |
| o others (specify) | _____ | _____ | _____ |

## 4. LEARNING RESOURCES

a. For each program, are the learning materials adequate and appropriate? That is:

...are the materials sufficiently comprehensive to meet all stated objectives?_____

...are they relevant to both program objectives and learners' lives?_____

...are they current?_____

...are sufficient copies of materials available?_____

...are the copies in good condition?_____

Note below your suggestions for the improvements that need to be made.

Suggestions for improvement:

b. What procedures have been set up for reviewing the quality, relevance and condition of materials and obtaining additional materials as necessary?_____

c. When equipment is needed, is it available in good working order?_____
What additional equipment is needed?_____

d. Do learners have easy access to all the books, journals, reference materials or other learning resources they need to meet program requirements and their own learning objectives? Where are these learning resources located? Are the collections comprehensive enough to meet all relevant learning needs? Are adequate numbers of copies available of materials in frequent demand? Photocopy and use the Learning Resources Assessment chart on the next page to note your answers. It provides space to list the resource needs of each program, list places the resources can be found, indicate how accessible each location is, and provide an overall rating of the quality of the resources available there. Note below your suggestions for improvements that need to be made.

Suggestions for improvement:

LEARNING
RESOURCES
ASSESSMENT
FORMAT

Program_____

| RESOURCE NEEDS | WHERE AVAILABLE | ACCESS | | | QUALITY | | |
|---|---|---|---|---|---|---|---|
| | | Poor | Fair | Good | Poor | Fair | Good |
| | | | | | | | |

e. To what extent are learning resources actually used by learners?_____

_____

_____

_____

_____

f. How is use of community resources as an integral part of learning encouraged?_____

_____

_____

_____

g. Does the institution conduct periodic surveys to identify available resources in the community, and if possible to obtain additional free-of-cost materials?_____

h. What inter-organizational arrangements have been made with other institutions to increase the resources available to learners?_____

_____

_____

_____

_____

## *QUICK CHECK*

| | Not very successful | Somewhat successful | Very successful |
|---|---|---|---|
| How successful has the institution been in: | | | |
| o providing adequate, appropriate materials for its programs? | _____ | _____ | _____ |
| o ensuring that all needed learning resources are easily available to program participants? | _____ | _____ | _____ |
| o identifying and making use of community resources for learning? | _____ | _____ | _____ |
| o assessing the extent of use of resources by participants? | _____ | _____ | _____ |
| o encouraging use of community resources? | _____ | _____ | _____ |

## 5. FACILITIES

a. What evidence is there that the institution's facilities meet all local fire, safety and sanitation standards?_____

b. To what extent is the institution able to ensure adequate facilities for programs without crowding or shifts of location?_____

c. Given their use, do all facilities used by the institution have adequate

...space?_____

...light?_____

...heat?_____

...ventilation?_____

If not, what is being done to correct these problems?_____

d. What provisions have been made to make facilities accessible to physically handicapped persons? Do the facilities meet federal or state requirements in this respect?_____

## *QUICK CHECK*

| | Inadequate | We're getting by | Quite adequate |
|---|---|---|---|
| In general, how adequate are the institution's facilities? | _____ | _____ | _____ |
| How adequate are they for handicapped people? | _____ | _____ | _____ |

## 6. FINANCIAL RESOURCES

a. For each program, have adequate funds been budgeted to support all essential operations and activities?

b. For each program, please indicate the key areas where an increase in the level of resources would be most helpful.

### *QUICK CHECK*

| | Not very effective | Somewhat effective | Very effective |
|---|---|---|---|
| How effective has the institution been in allocating adequate resources to programs? | _____ | _____ | _____ |

## 7. SECTION SUMMARY

a. What could be done to improve the quality of instructional support provided to program learners?

b. What would improve the nature or quality of administrative support?

c. How could assessment, counseling and other learner support services be improved?

d. What needs to be done to improve the quality or quantity of program materials and learning resources available?

e. What steps should the institution take to make fuller use of the resources available in the community?

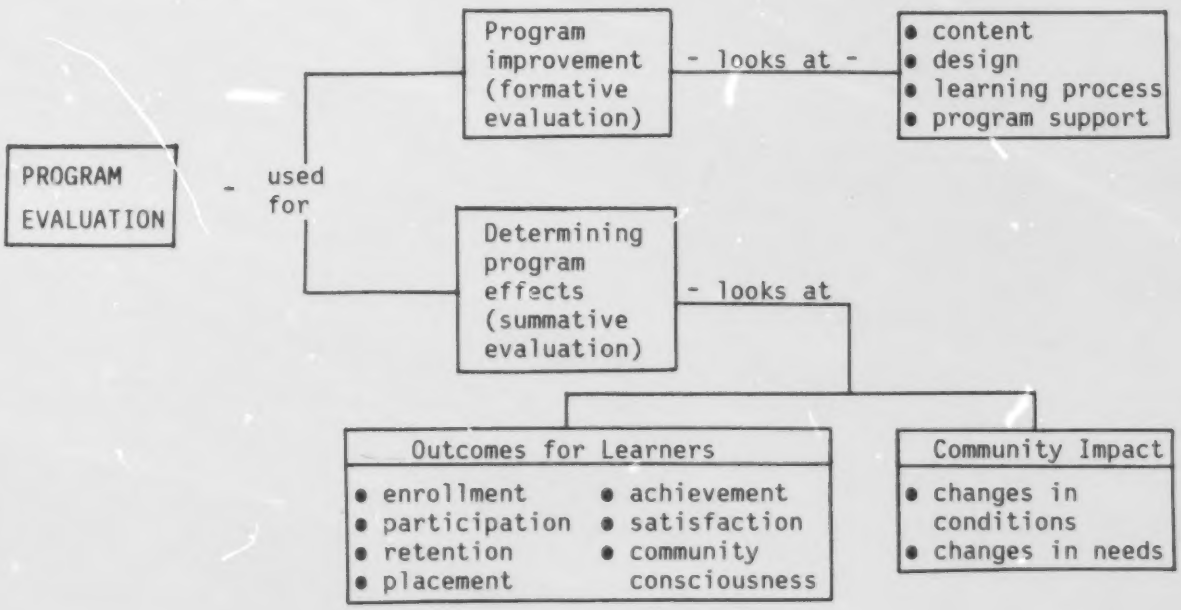
f. How do the institution's facilities need to be improved? How feasible are such improvements at this time?

g. How should the financial resources available to programs be adjusted? If greater budget allocations are needed, how feasible are such adjustments at this time? If allocations must be made available earlier, how can this be accomplished?

# E. Program Evaluation

Program evaluation should assist a community based educational institution in at least three ways: in developing new programs, in improving on-going programs, and in appraising the overall effectiveness of programs in meeting their objectives. If evaluation findings are to be used for these purposes, the institution should consider program evaluation as an integral part of its overall activities. That is, for each program, the purpose of the evaluation should be specified; an evaluation plan should be developed that includes appropriate activities, methods, procedures and time tables; appropriate staff should be assigned to tasks; and needed resources should be allocated. As with other institutional activities, board members, staff and learners should participate in identifying information needs, planning and coordinating activities and using the results for decision-making and policy development.

In this section we will look at two types of program evaluation: (1) evaluation for program improvement, or formative evaluation of specific aspects of programs in progress, and (2) evaluation for determining the effects of programs, or summative evaluation. Summative evaluation includes evaluation of outcomes for learners and evaluation of impact on the community. The two types of program evaluation are described in the diagram below.



Questions in this section are organized into 5 broad groupings:

The purpose and process of program evaluation--why programs are evaluated, by whom, and how often; how data are used; the overall usefulness of evaluation activities; and the extent of the institution's commitment to evaluation.

Evaluation for program improvement--the extent to which evaluation of specific aspects of program design, the learning process, program content and program support provides information about ways programs can be improved.

Evaluation of outcomes for learners--the extent to which summative evaluation yields information about learner enrollment; participation; achievement; satisfaction; and post-program employment and community involvement.

Evaluation of community impact--the extent to which the institution is able to determine changing conditions and needs in the community and the effect that its programs have had on those conditions and needs.

Use of evaluation results--the extent to which staff, board members, and participants make use of evaluation findings in decision-making.

## 1. THE PURPOSE AND PROCESS OF PROGRAM EVALUATION

a. How often is each program, community development project, course or sequence of learning activities evaluated?_____

_____

b. When doing program evaluations, what aspects of programs or projects are of greatest concern to the institution?_____

_____

_____

c. For what purpose(s) are program evaluations conducted? That is:

...What objectives have been set for program evaluations?_____

_____

_____

_____

_____

_____

...Who are the principal users of evaluation data?

...How do they use the data? Please provide specific examples.

d. Who is primarily involved in program evaluation? That is:

...Who is in charge? Is it one individual or has a committee been established?

...How do board members, instructional staff, other staff and participants contribute?

e. To what extent do board members, staff and learners view program evaluation as an integral and routine function?

f. What is the extent of the institution's commitment to evaluation (as evidenced by assignment of staff, allocation of resources, general attitudes, etc.)?_____

_____

_____

_____

_____

## *QUICK CHECK*

| | To a low extent | To some extent | To a great extent |
|---|---|---|---|
| To what extent is program evaluation made an institutional priority | _____ | _____ | _____ |
| To what extent are evaluation activities supported by board members, participants and staff? | _____ | _____ | _____ |
| To what extent has program evaluation contributed to the overall success, stability and strength of the institution? | _____ | _____ | _____ |

## 2. EVALUATION FOR PROGRAM IMPROVEMENT

a. How do evaluation efforts inform decision-makers about the ways specific aspects of each program are helping or hindering program effectiveness? What data are used, and how are needed data collected? To help answer this question, complete the chart below.

| TO WHAT EXTENT DO EVALUATION EFFORTS INFORM DECISION-MAKERS ABOUT: | TYPES OF DATA | HOW COLLECTED |
|---|---|---|
| the appropriateness of program objectives to the mission and goals of the institution?_____ _____ _____ | | |

| TO WHAT EXTENT DO EVALUATION EFFORTS INFORM DECISION-MAKERS ABOUT: | TYPES OF DATA | HOW COLLECTED |
|---|---|---|
| the appropriateness and relevance of learning sequences? | | |
| the appropriateness and validity of entry-level, interim-level and exit-level performance standards? | | |
| the appropriateness of provisions to accommodate learners' individual needs? | | |
| the appropriateness of provisions for recognizing learners' life experiences? | | |
| the extent to which learners participate in setting their own learning objectives? | | |
| the relevance of experiential learning activities to stated objectives? | | |
| the appropriateness of instructional methods, given learners' needs and program objectives? | | |

| TO WHAT EXTENT DO EVALUATION EFFORTS INFORM DECISION-MAKERS ABOUT: | TYPES OF DATA | HOW COLLECTED |
|---|---|---|
| the extent to which the learning environment is consistent with institutional mission and philosophy? | | |
| the nature and quality of relationships between learners and instructional staff? | | |
| the reliability and validity of assessment and feedback procedures? | | |
| the appropriateness of program content given program objectives? | | |
| the appropriateness of indicators and measures of competency attainment? | | |
| the quality of instruction, including amount of individual attention? | | |
| the efficiency of administrative and recordkeeping procedures? | | |

| TO WHAT EXTENT DO EVALUATION EFFORTS INFORM DECISION-MAKERS ABOUT: | TYPES OF DATA | HOW COLLECTED |
|---|---|---|
| the quality and use of counseling and other learner support services? | | |
| the nature and quality of inter-organizational arrangements in support of program activities? | | |
| the quality of physical facilities? | | |
| the efficiency of budgeting and fiscal operations in allocating resources to programs? | | |

b. Does the institution use a range of information-gathering strategies (personal observations, interviews, questionnaires, reviews of records and documents, etc.) to collect the data? Are the strategies appropriately matched to the nature of the data? In what areas should different or additional strategies be used?

c. How has program quality been improved as a result of this formative evaluation process?

## *QUICK CHECK*

| | Not helpful | Somewhat helpful | Very helpful |
|---|---|---|---|
| In general, how helpful has evaluation been in improving the quality of programs? | _____ | _____ | _____ |

## 3. OUTCOMES FOR LEARNERS—ENROLLMENT, PARTICIPATION, RETENTION, PLACEMENT

a. What data are available to demonstrate the extent to which each program is meeting its enrollment and participation objectives? That is, <u>for each program</u>, are data available to indicate:

...demand, in terms of number of requests for enrollment?_____

...the number or percentage of applicants enrolled?_____

...(as applicable) the number and percentage of applicants identified as needing additional preparation to meet entry requirements?_____

...the number and percentage of individuals who have been able to meet entry requirements after being helped by learner support services?_____

What other entry data are available?_____

_____

_____

_____

b. What data are available to demonstrate the extent to which each program is meeting its retention objectives? That is, for each program, can the institution show:

...how many and what percentage of those enrolled successfully complete their course of study?_____

...how retention varies depending on the nature of the program, the degree awarded or the competencies required?_____

...how many and what percentage of participants are unable to meet certification/graduation standards or achieve program objectives within a reasonable period of time (e.g., twice as long as most learners)?_____

What other retention data are collected?_____

_____

_____

c. Do program enrollment, participation and retention/attrition data point to particular patterns that might explain individuals' decisions to partici-

pate, drop out or complete their course of study? That is:

...What is the program attrition rate for different categories of program participants?* Do the rates vary among categories of participants?

...Does the institution attempt to find out why some learners drop out and whether they plan to return? What procedures are used to collect such information?

...Do attrition rates vary from one program to another? If yes, how might this be explained?

d. Does the institution maintain records of the employment and post-graduation status of its program completers or graduates? If yes, how are the data collected and how often are the records updated?

e. Based on the most recent records how many and what percentage of successful program completers:

...are pursuing their education at the same institution?

...have continued their education at other institutions?

*See Part IV for a discussion of learner characteristics and categorization.

...have found and retained jobs in occupational areas in which they were trained at the institution?

...are self-employed or have established cooperative ventures consistent with their personal goals?

...are unemployed, looking for work?_____

_____

...are dependent on state or federal income supplements?_____

_____

...have improved their economic/financial status compared to when they first enrolled in the program?_____

_____

## 4. OUTCOMES FOR LEARNERS— ACHIEVEMENT OF OBJECTIVES

a. How can the institution certify that its graduates have acquired the knowledge, skills and competencies expected as a result of completing the program?_____

_____

_____

_____

b. Are "before" and "after" measures of achievement or competence available for each learner? How do the "after" measures demonstrate that the learners have met objectives or exit-level standards?_____

_____

_____

_____

_____

c. What efforts has the institution made to search for and use standardized tests to measure learners' progress and achievement in program areas for which such tests are available? Explain the decisions to use or not use standardized tests._____

_____

_____

_____

_____

d. Do assessment or testing practices vary depending on the content and objectives of each program? If yes, please explain how each practice is applicable to the different conditions._____

_____

_____

_____

_____

_____

e. To what extent are measures valid? That is:

...are they consistent with the instructional approaches used by the institution?_____

...do they reflect accurately learners' achievement or competencies?

_____

...are they sensitive to real changes in learners skills and knowledge?

_____

...do they adequately differentiate among levels of performance?_____

f. What evidence is there that certification, graduation or completion of program requirements is synonymous with learners' ability to demonstrate achievement of desired objectives?_____

_____

_____

_____

g. What evidence is there that the objectives achieved are relevant to participants' future life goals? That is:

...Is the institution able to demonstrate that its graduates are accepted by employers in the community?_____

_____

_____

...Are credits or degrees awarded recognized by other postsecondary institutions?_____

_____

_____

...To what extent have graduates been able to successfully apply their skills in situations outside the institution?_____

_____

_____

## *QUICK CHECK*

| | Not Helpful | Somewhat Helpful | Very Helpful |
|---|---|---|---|
| How helpful have learner outcome evaluations been in indicating: | | | |
| o the extent to which achievement is being appropriately measured? | _____ | _____ | _____ |

| | Not Helpful | Somewhat Helpful | Very Helpful |
|---|---|---|---|
| o the extent to which certification or degree attainment are dependent on achieving objectives? | _____ | _____ | _____ |
| o the extent to which attainment of objectives is recognized by others outside the institution? | _____ | _____ | _____ |

## 5. OUTCOMES FOR LEARNERS—COMMUNITY CONSCIOUSNESS

a. Can the institution demonstrate that a high proportion of its graduates are contributing to the economic development and well-being of their community? For example:

...What percentage of graduates or former participants are currently residing and working in the community?_____ What percentage are contributing actively to its economic and social development?_____ In what ways are they contributing?_____

...What percentage are actively supporting the institution through contributions and volunteer services to the institution? Describe the nature of their support._____

...What percentage have assumed economic, political or social leadership roles in the community? Describe their initiatives and efforts, as individuals and as a group, to bring about change and improvement in the quality of life._____

...To what extent can these community-centered, public interest efforts be attributed to the nature, structure and philosophy of the institution's education and economic development programs?_____

b. What kinds of efforts have been undertaken by the institution to examine the relationship between changes in participants as a result of programs

and changes in the quality of life in the community? What do the results indicate?

c. What specific aspects of community life are most likely to be affected by graduates' changes in knowledge, attitudes and competencies? Are these aspects of concern to the institution, given its mission and goals?

## *QUICK CHECK*

| | Not Helpful | Somewhat Helpful | Very Helpful |
|---|---|---|---|
| To what extent have program evaluation efforts been helpful in indicating: | | | |
| o participants' development of a sense of community commitment? | _____ | _____ | _____ |
| o the extent to which participants' commitment has benefited the community? | _____ | _____ | _____ |

## 6. EVALUATION OF COMMUNITY IMPACT

Note: The questions below are essentially a guide to designing and conducting an impact evaluation. For this reason we suggest you answer on separate worksheets at whatever level of detail seems most appropriate.

a. What were the specific economic, social and political conditions in the community that led to the development of the institution's current programs? Please analyze and describe each program in the context of the community needs it is designed to serve.

b. Based on the description of each program, what long-term hypotheses can be drawn about expected changes in community conditions as a result of implementation of the institution's programs?

c. What general or specific variables are suggested by the hypotheses? Can these variables be studied using program evaluation techniques such as demographic analysis or clinical case studies?

d. What efforts has the institution made to examine the value of its programs in relation to the needs and conditions characterizing the community?

e. Have any programs been dropped or added over the past five years in response to the changes in the characteristics and needs of the community?

f. What procedures does the institution use to keep current about and respond to the needs of the community?

g. What evidence is there that the programs and services currently offered by the institution were not previously available in the community?

h. What evidence is there that the institution and its programs are supported and valued by the community? Give specific examples showing how, in both good and hard times, the community has supported the institution.

i. What would happen if the program offered by the institution were withdrawn? On what basis are these judgements made?

## *QUICK CHECK*

| | Evaluation not made | Some evaluation done | Impact evaluation completed |
|---|---|---|---|
| To what extent has the institution been able to evaluate its impact on the community? | _____ | _____ | _____ |
| | **No significant impact** | **Some impact** | **Significant positive impact** |
| To what extent have the institution's programs had a significant impact on the community? | _____ | _____ | _____ |

## 7. USE OF EVALUATION RESULTS

a. How have each of the following groups used evaluation results:

...long-term planning teams?_____

_____

_____

...board members?_____

_____

_____

...instructional staff?_____

...program participants?_____

b. How have evaluation findings been used in making decisions about development or revision of the institution's mission and goals?_____

c. How have evaluation findings been used in making decisions about the development, revision or elimination of programs, courses, or learning activities?_____

## *QUICK CHECK*

| | Not much use | Some use | Lots of use |
|---|---|---|---|
| To what extent have evaluation findings been used to guide institutional planning and decision-making? | _____ | ___ | _____ |

## 8. SECTION SUMMARY

a. What could be done to make program evaluation an on-going activity rather than something done intermittently in response to external requirements?

b. How could the institution define more clearly the purposes for which evaluation data should be used?_____

c. What actions could be taken to increase participation and involvement of board, staff and learners in evaluation planning and activities?_____

d. What steps could be taken to make program evaluation findings more useful for improving program implementation?_____

e. What are the key program components or processes that should be studied carefully for information to guide program improvement efforts?_____

f. What could the institution do to make the collection and dissemination of such information routine?_____

g. What actions could be taken to increase the institution's focus on evaluation of learners' outcomes as the basis for determining whether each of its programs is effective and worthwhile?_____

h. What are the key program outcomes that should be assessed: for learners, for the community as a whole?_____

i. What could be done to collect and analyze information about these key outcomes on a routine basis?_____

_____

_____

_____

_____

j. What could be done to assess more adequately the direct and indirect impact the institution's programs have on the needs and problems of the community?_____

_____

_____

_____

_____

k. Hould could evaluation findings be used more effectively by staff, board members and learners in planning and decision-making?_____

_____

_____

_____

_____

_____

## F. Data for Decisions

Use the following chart to help you identify sources of information that can help you in assessing organizational effectiveness.

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| **A. PROGRAM DESIGN** | |
| 1. Objectives | |
| o Where and how documented | o Program plans<br>o Proposals<br>o Catalogues<br>o Brochures<br>o Program evaluation reports<br>o Perceptions of key staff who designed the program |
| o Relationship of objectives to community and learner needs | o Program plans (for evidence that community and learner assessment data are used in formulating objectives)<br>o MIS learner, community and program data<br>o Perceptions of staff, learners and community residents |
| o Relationship of objectives to institutional mission and goals | o Statements of mission and goals<br>o Statement of program and instructional objectives<br>o Planning documents (for evidence that mission and goals are considered in formulating program objectives)<br>o Program budget documents (to check allocation of resources to programs)<br>o Perceptions of board members, instructional staff, and learners |
| o Learners' knowledge of expected changes | o Learners' perceptions (How do they compare with written statements? How do perceptions vary?) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| 2. Sequencing of learning | |
| o Descriptions of programs, courses, learning activities and experiences | o Program and course syllabi<br>o Program plans<br>o Curricular outlines, descriptions<br>o Program and learning activities charts |
| o Relationship between courses or learning activities within programs and between learning experiences within activities or courses | o Perceptions of key staff and sample of learners in each program<br>o Program documents as noted above |
| 3. Standards of achievement | |
| o Where and how entry-, interim- and exit-level requirements are documented | o Program plans and descriptions<br>o Course outlines and syllabi<br>o Learners' individualized program plans<br>o Perceptions of key staff, learners (How do their perceptions of the requirement compare with written materials?) |
| o Relationship of requirements to mission and goals and to program objectives | o Statements of mission and goals<br>o Statements of program objectives<br>o Statements of degree/course/other requirements (How are all these statements related?)<br>o Perceptions of board members, program staff and learners |
| o Assessment methods and procedures used to measure achievement of standards | o Instructional documents describing testing and assessment procedures<br>o Program plans, course descriptions and syllabi<br>o Copies of tests, assessment guidelines, etc.<br>o MIS learner outcome and program data<br>o Samples of learners individual program plans and outcome files<br>o Evaluation studies of learning outcomes |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o Perceptions of instructional staff and learners (How do their perceptions vary? Also, compare with what is written) |
| o How feedback from assessment is used to help learners achieve objectives | o Sample of learners individual plans<br>c Sample of MIS learner outcome files<br>o Perceptions of learners and instructional staff (How have assessment results been used to modify learning plans, to reconsider learning strategies, to specify needed support services, to motivate and inform learners?) |
| o Consistent application of standards and related assessment procedures | o Sample of MIS learner outcome files for evidence that entry-level requirements have been met, on-going progress has been assessed, and expected objectives have been achieved. Do the files show a range of competency achievement? |
| 4. Responsiveness to individual needs | o Perceptions of instructional staff and learners |
| o Range of educational options to accommodate varying learning needs | o Learning Activities Sequence Chart<br>o MIS learner characteristic and outcome data (compare descriptions of programs, courses, learning activities and experiences on the chart with information about learners' needs)<br>o MIS learner outcome data to examine reasons why some participants drop out<br>o Perceptions of staff and learners (Are there adequate programs and resources to meet needs of learners with special problems?) |
| o Flexibility in implementing procedures and schedules | o Perceptions of staff and learners |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o Sample of learners' individual program plans and MIS outcomes file (for evidence that individual needs and circumstances were considered in planning learners' programs and in assessing their progress) |
| o Sensitivity to social, economic, cultural characteristics in selecting materials and designing learning experiences | o MIS learner characteristics data<br>o Samples of learning materials for different courses, learning activities<br>o Descriptions of learning activities and experiences (or Learning Activities Sequence Charts)<br>o Perceptions of staff and learners |
| o Success in meeting individual needs | o MIS learner characteristics and outcomes data<br>o Perceptions of degree of satisfaction among learners and staff |
| 5. Recognition of life experiences | |
| o As a basis for designing individual learning programs | o Samples of individual learner program plans and MIS outcome data<br>o Perceptions of key staff and learners (How do their perceptions compare?) |
| o Procedures and criteria for evaluating and recognizing knowledge and skills derived from prior experiences | o Informational documents such as policy statements, catalogues, brochures<br>o MIS learner outcome data, including documentation of experiences<br>Note: Examine records of a number of learners who requested evaluation of prior life experiences--what were the outcomes?<br>o Perceptions of persons responsible for the evaluations<br>o Perceptions of learners who were successful and those who were not |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| **B. THE LEARNING PROCESS** | |
| 1. Individual program planning | |
| o Degree of participation by learners in developing plans | o Instructional policies<br>o Samples of individual learner program plans<br>o Perceptions of key staff and learners |
| o Support and guidance available to learners | o Observations of procedures<br>o Perceptions of key staff<br>o Evaluations of learners' satisfaction with process and assistance received |
| o Content and design of individual program plans | o Samples of individual learner program plans |
| o Success of the process | o MIS learner outcome data (for evidence of success in achieving objectives)<br>o Perceptions of key staff<br>o Learner evaluations of the process |
| 2. Active participation in learning | |
| o Degree of participation by learners in decisions affecting their education | o Instructional policies regarding learners' rights and responsibilities including participation in institutional decision-making<br>o Perceptions of learners (for evidence of participation in institutional functions and learner-directed activities) |
| o Active involvement in process of learning | o Observations in actual learning environment (Look for evidence that participants are involved through dialogue and action.) |
| 3. Integrating learning and life | o Program descriptions<br>o Program learning activity and experience charts (for evidence that experiential and field-based community activities are part of learning sequence) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o Samples of learners' program plans<br>o Perceptions of learners, key staff and community persons involved in learning activities |
| 4. Building a supportive learning environment | o Testing and grading policies (Do learners compete for grades? Do they compete for awards or recognition based on grades?) |
| o Learner-faculty relationships | o Institutional policies regarding staff-learner relationships<br>o Program plans, documents that describe instructional approaches<br>o Perceptions of key staff and learners (How do they vary?) |
| 5. Learning assessment | |
| o Purpose of testing/ assessment | o Descriptions of testing and assessment policies and procedures (Look for statements about the institution's philosophy of testing and assessment)<br>o Perceptions of key staff and learners |
| o Implementation of testing policies and use of testing results | o MIS learner outcome data<br>o Sample of learners' individual learning plans<br>o Perceptions of staff and learners |
| **C. LEARNING CONTENT** | |
| For all content areas, to answer questions regarding: | o Statements of program purpose |
| o Relationships of programs to content areas | o Institutional planning documents<br>o Program plans (for description of program objectives addressing the content area)<br>o Recent outlines, syllabi and program/learning activity/ course descriptions |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o Perceptions of board members, key staff, learners and sample of community residents (How are programs designed to enable learners acquire the knowledge and skills appropriate to content areas?) |
| o Success of programs in meeting needs addressed by content areas | o MIS learner and graduates' outcome data<br>o MIS program data (profile charts)<br>o Sample of individual learners' program plans<br>o Perceptions of key staff, board members, learners and community residents<br>o Program evaluation data and reports of studies of learning outcomes and impact on community<br>o Learners' satisfaction with program content area |
| **D. PROGRAM SUPPORT** | |
| 1. Instructional staff | |
| o Skills and qualifications related to assignments | o Program plans describing staff support and skills needed for program implementation<br>o MIS personnel data (for evidence of appraisal reviews, findings and recommendations)<br>o MIS learner outcome data (to see satisfaction with quality of instruction)<br>o Perceptions of supervisory personnel and instructional staff<br>o Perceptions of learners and graduates |
| o Access and availability to learners | o Observations of learning process (to see nature and frequency of interactions between learners and staff)<br>o Staff schedules and work/teaching loads |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o Schedules of staff activities and assignments for evidence of times when learners can meet or are scheduled to meet with staff (Are these convenient times for most learners?) |
| | o Perceptions of key staff and learners |
| o Success in recruiting qualified volunteers | o MIS personnel data--volunteer profile charts and performance appraisals |
| | o Perceptions of staff, learners and volunteers |
| | o Observation of volunteer/learner interactions |
| o Training/development for paid staff and volunteers | o Staff development plans |
| | o MIS personnel data |
| | o Evaluations of staff development activities |
| | o Perceptions of key staff responsible for supervision of staff and staff training |
| | o Perceptions of staff and volunteers |
| 2. Administrative support | |
| o Nature and quality of support | o Program plans describing administrative support needed for program implementation |
| | o Schedules and assignments of administrative and supervisory staff (How many staff members are supervised by one supervisor? Is the span of control more than one person can effectively manage?) |
| | o Position descriptions (to see supervisory relationships) |
| | o Perceptions of supervisory personnel and instructional staff |
| o Nature of interactions between administrative and instructional personnel | o Minutes of planning meetings and staff meetings (for evidence of joint planning) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o MIS personnel data (to see qualifications of administrative/ supervisory staff and performance appraisals of administrative and instructional staff) |
| | o Perceptions of administrative and instructional staff regarding quality of support (Do perceptions differ?) |
| 3. Assessment and counseling services | |
| o Nature and availability of support and counseling services | o Institutional policies and plans regarding support services for learners |
| | o Catalogues, brochures, etc., describing admission, assessment and support services available to learners |
| | o Program plans (How do they describe services needed to help learners achieve objectives?) |
| | o MIS learner data--characteristics and needs of learners |
| o Quality of learner support services | o Evaluations of counseling support services (including evaluations of effects on learners as noted in MIS learner outcome data) |
| | o Observations of procedures and records related to admission, assessment, counseling, guidance and placement services |
| | o Perceptions of key staff |
| | o Learners' evaluations (satisfaction with services available and received) |
| o Relation of support and instructional functions | o Minutes of planning meetings between learner support staff and instructional staff (How often do they meet and how do they coordinate efforts?) |
| | o Samples of learner individual program plans and MIS learner outcome data (for evidence of coordination of efforts to help learners achieve objectives) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| 4. Learning Resources | |
| o Availability and accessibility | o Leaflets, brochures, etc. describing the learning resources available to learners at the institution and in the community |
| | o Maps, schedules of hours, etc. (to see how easily and when learning resources such as libraries, resource centers, art museums, learning laboratories, etc., are available to learners |
| | o Learning Resources Assessment Chart |
| | o Perceptions of learners |
| o Quality of materials, relationship to program objectives, recency, comprehensiveness | o Observations and site visits (be sure to have copies of statement of program objectives with you) |
| | o Prior evaluations of resources |
| | o Perceptions of learner support staff and instructional staff |
| | o Perceptions of learners and graduates |
| | o Completed Learning Resources Assessment Chart |
| o Utilization | o Individual learning plans and MIS learner outcome data |
| | o Examination of learner products to obtain evidence about effective use of learning resources |
| | o Utilization data--records about frequency of use |
| | o MIS affiliation data for frequency of use of resources shared with other institutions |
| | o Perceptions of staff in other agencies |
| | o Perceptions of key staff and learners |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| 5. Facilities | o Institutional documentation--maps, space utilization plans, contracts for leased space, architectural plans, replacement schedules, agreements with other agencies for use of space, mortgage agreements, etc.<br>o Official permits indicating compliance with zoning, fire and safety standards<br>o Observational tour of the facilities (check also for accessibilbility for physically handicapped persons)<br>o Perceptions of staff and learners |
| 6. Financial Resources | o MIS program and financial data<br>o Perceptions of administrative, program design and instructional staff |
| **E. PROGRAM EVALUATION** | |
| 1. Purpose and process | |
| o Where and how documented | o Institutional planning documents, annual reports<br>o Long-range program plans, for evaluation designs and plans and provision for evaluation in other program components<br>o Program evaluation studies<br>o Program or course outlines that identify evaluation and assessment procedures |
| o Who conducts evaluations, participates in the process, and uses the results | o Interviews with staff responsible for conducting program evaluations<br>o Interviews with board members, staff, learners (for evidence of degree of participation by each group)<br>o Interviews with users of evaluation results (How and for what purposes are evaluation results used by each group?) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| o Commitment to evaluation activities | o MIS financial and program data (to see institutional resources allocated to evaluation)<br>o Board involvement (Is there a standing or ad hoc committee focusing on evaluation?)<br>o Perceptions of staff, board and learners |
| 2. Evaluation for program improvement | |
| o Range of program areas evaluated (e.g., content, design, learning process, instruction, support, etc.) | o Program evaluation plans and designs<br>o Evaluation reports<br>o Discussions with key staff, board and learners |
| o Success in using formative evaluation data to improve programs | o Program plans and descriptions<br>o Evaluation studies and reports (Examine recommendations made for changes and determine how programs were modified based on findings)<br>o Perceptions of those responsible for evaluation and those responsible for program design and implementation (How do their perceptions vary? Were the evaluation results useful? How?) |
| 3. Outcomes for Learners | |
| o Enrollment, participation, retention and placement | o MIS learner outcome data<br>o Evaluation reports<br>o Enrollment, attrition and retention studies<br>o Follow-up studies of graduates<br>o Discussions with key staff<br>o Perceptions of learners and graduates<br>o Perception of community residents/employers |
| o Satisfaction with educational experiences | o MIS learner outcome data (measures of learners' satisfaction) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| 4. Outcomes for learners-- | |
| o Achievement | o MIS learner outcome data<br>o Samples of individual learning plans or contracts (for evidence that graduates have achieved their objectives and met the program exit-level requirements)<br>o Evaluation studies for studies of learning outcomes<br>o Staff, learner and graduate perceptions |
| 5. Outcomes for learners-- | |
| o Community consciousness | o MIS learner outcome data (to see status of graduates with regard to community involvement and continuing support of the institution)<br>o Perceptions of board, key staff, learners and graduates<br>o Perceptions of a sample of community leaders and residents |
| 6. Community impact | |
| o Determining the community conditions that need change | o MIS community characteristics and needs data<br>o Perceptions of board, staff, learners and sample of community residents |
| o Relationship of programs to community needs | o MIS program data and community needs data<br>o Discussions with key staff |
| o Effects of programs on community needs/problems | o Impact evaluation studies (demographic analyses depicting changes/improvements in community conditions)<br>o Clinical case studies--observations, interviews with constituents to assess contributions of programs to changes/improvements in the community |
| o Effects of changes in community needs or problems on programs | o Planning documents (look for evidence of changes in mission and goals based on evaluation of impact and assessment of community needs) |

| FOR INFORMATION ABOUT . . . | DATA SOURCES MAY INCLUDE |
|---|---|
| | o Institution's long-range planning documents (for evidence that programs are added or dropped based on assessment of needs)<br>o Perceptions of board members, key staff |
| 7. Use of evaluation results for planning and decision-making | o Minutes of planning and review meetings, staff meetings, board meetings<br>o Statements of mission and goals<br>o Institutional plans, program plans and descriptions, individual learners' plans<br>Note: Look for evidence that results were reviewed and considered in making decisions.<br>o Perceptions of board, staff, learners and graduates (How are evaluation findings used in making decisions about the development, retention or elimination of programs?) |

## G. Next Steps

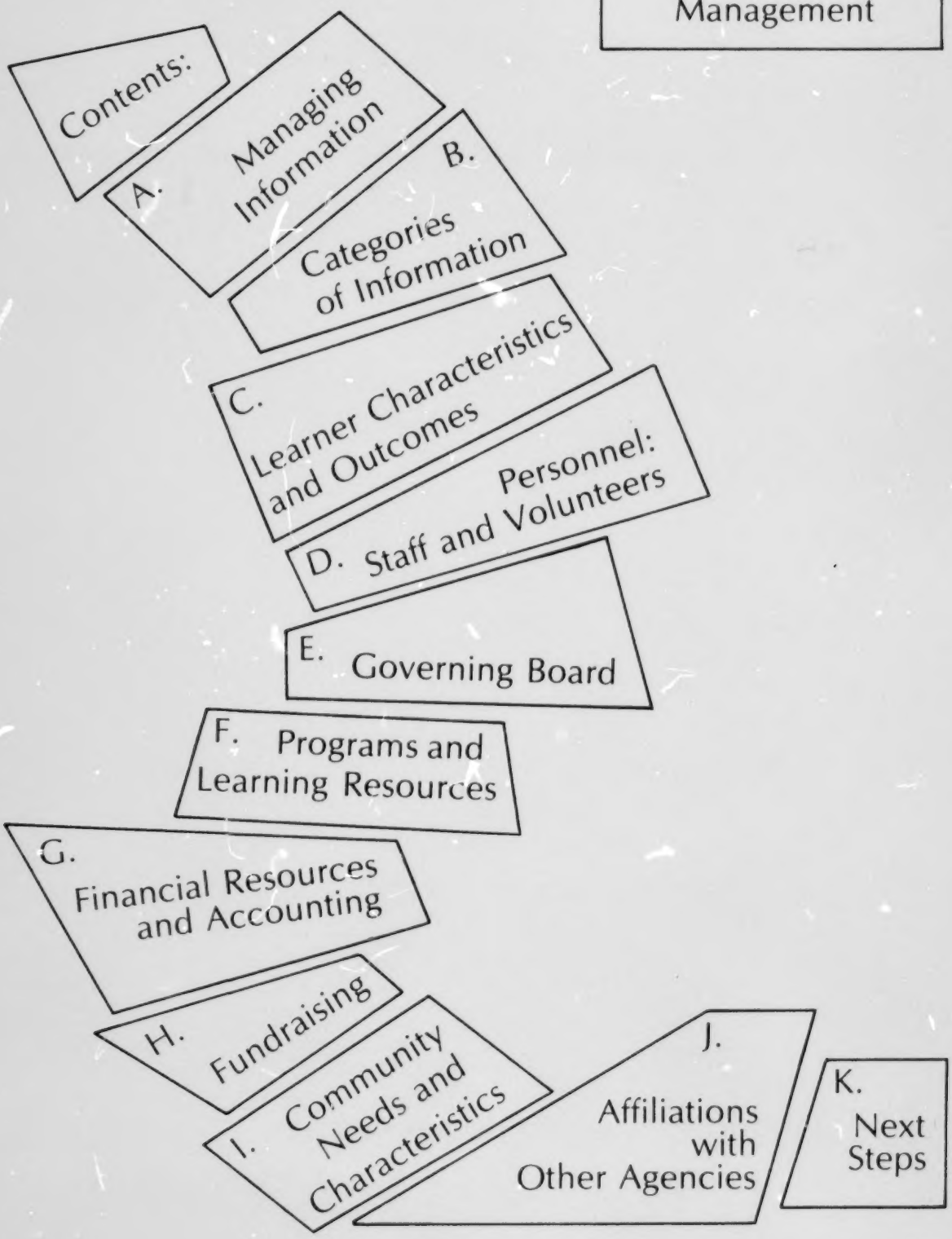
In completing Part III you have probably identified several areas in which improvements can be made. Look back at the section summaries for sections A through E and review your suggestions. Then use the chart on the next two pages to summarize the actions that need to be taken. There is space on the chart to note who should be involved in each activity, and the time frame for its completion.

| PROGRAMS AND OUTCOMES | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

| PROGRAMS AND OUTCOMES | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

# PART IV
# Information Management

# PART 4
## Information Management



# OVERVIEW

In a well-managed institution, information is a valuable resource used at every level of the organization to document what has taken place, guide current decisions and aid in future planning. To ensure that the information is accurate, up-to-date, and above all useful, many institutions find it helpful to adopt a systems approach.

To be sure, the systems approach to managing and integrating information requires considerable planning and careful attention to details. A necessary first step is to develop a plan for generating the information the institution needs to meet its goals.

Like other plans discussed in this workbook, the information management plan should have at least four components:

- o Purpose and objectives. The statement of purpose should identify the problems the system is to address, and the intended outcomes of the system.
- o Activities. The tasks and steps necessary to implement the system and achieve each information management objective should be outlined, as well as all data and information requirements.
- o Resources. The people and dollars required to carry out the proposed management information system activities must be identified.
- o Management and evaluation design. Such a design is needed to ensure quality control, facilitate coordination among tasks and evaluate the utility and effectiveness of the system.

The purpose of this part of the workbook is to help you develop an information management system if you don't yet have one, or assess it if you do. Our approach is based on several assumptions:

(1) Community based educators generally have little information about the educational and administrative functioning of their institutions. Such information would be very helpful in gauging the effectiveness of programs and guiding planning and decision-making.

(2) Community based educators need both outcome information--information about results for learners and the community--and process information--information about resources and their utilization.

(3) There is a difference between data and information. Data are raw, uninterpreted facts; when analyzed they can yield useful information for decision-making. Thus, information becomes a valuable resource helping to improve the way decisions are made.

(4) Like any other resource, information is not free and must be managed properly.

In order to develop an integrated approach to information management, it is important to look at all your information needs at once. This section offers just such an opportunity. You will be asked to provide data and complete a number of charts that will allow you to examine trends over a period of three to four years. If the data for comparative analysis are not available, please provide as much information as possible, at least for the current year.

# A. Managing Information

The development of any information system, manual or automated, begins with a preliminary analysis. The institution must: (1) ascertain who are the potential users of the system and what their information needs are, and (2) determine whether or not it has the resources and capabilities to produce the needed information.

Once a decision is made to proceed, the system specifications must be defined in operational terms. That is, the system, at a minimum, must specify what data should be collected; why the data are needed; how they should be collected, stored and aggregated; how records will be safeguarded; who should have access to the records or be provided information; when and in what form the information should be provided; when records should be updated; and how long records must be maintained.

The questions which follow will ask you to consider issues that affect both the system development process and its design requirements.

## 1. DETERMINING INFORMATION NEEDS

a. How has your institution approached the analysis of its information needs? Was a needs assessment carried out? Were capabilities to produce the needed information analyzed?_____

_____

_____

_____

_____

b. How is the information used? For example, how is the information produced by the system used in:

...developing and revising long-range plans?_____

_____

_____

...planning programs to achieve goals?_____

_____

_____

_____

_____

...designing programs and developing learning activities?_____

...evaluating the effects of educational and community development programs?_____

...documenting the number and types of services provided?_____

...developing individualized learning plans?_____

...tracking and monitoring learners' progress?_____

...conducting research to study and resolve community problems?_____

...monitoring changes in community characteristics and needs?_____

c. Who are the primary users of the information provided by the system? What are the purposes for which the information is used? Please describe for:

...board members_____

...CEO and administrative staff_____

...instructional staff_____

...financial aid and guidance personnel

...learners

...others

d. What types of reports are produced by the system or include information produced by the system? (They may include financial reports, evaluation reports, planning documents, individual learning plans, etc.) How often are each of these reports produced?

e. To what extent is the information generated by the system adequate to meet the institution's report requirements? Must the institution scramble to collect new data each time internal or external reports have to be prepared?

## 2. DESIGNING SYSTEM REQUIREMENTS

a. In what major areas are data collected? Please list the various categories.

b. How and to what extent does your system specify data collection procedures --the sources of data, the methods of data collection, the cycles when data are collected, the persons responsible for collection?

c. To what extent are other procedures and safeguards detailed, including:

...procedures for data coding and storage?_____

...schedules of regular updates of records and files?_____

...periodic review of records to ensure that information is accurate?

...safeguards to minimize theft, loss or destruction of records?_____

...safeguards to protect confidentiality?_____

...procedures for analyzing the data in order to generate useful information for users?_____

d. To what extent does the system generate information in easy-to-use report formats appropriate to different users' needs (e.g., reports for internal decision-making and for satisfying external requirements)?_____

## 3. MANAGING THE INFORMATION

a. What is the institution's current approach to managing information? Is there a centralized coordinating effort carried out by a staff person assigned to the task or is the process decentralized, carried out on an ad hoc basis by whom ever needs information?_____

b. In comparison to other institutional support activites, what is the level of effort (staff and financial resources) allotted by the institution to the tasks of collecting and managing information?_____

## *QUICK CHECK*

Please rate the extent to which the following statements are true.

| | Not true at this time | Partly true | Generally quite true |
|---|---|---|---|
| o The institution has developed a system to generate the information needed for planning and decision-making. | _____ | _____ | _____ |
| o The system has been designed to respond to the assessed information needs of its users. | _____ | _____ | _____ |
| o The information the system produces meets users needs. | _____ | _____ | _____ |
| o Categories of data and procedures for collecting, storing, and maintaining them have been specified. | _____ | _____ | _____ |
| o There are safeguards in place to protect the confidentiality and security of data. | _____ | _____ | _____ |
| o The system is adequately supported in terms of both people and dollars. | _____ | _____ | _____ |

## 4. SECTION SUMMARY

a. What could be done to better meet the institution's needs for information?

_____

_____

_____

b. What could be done to improve the overall management of data and information?

_____

_____

_____

_____

c. How could the institution's data requirements be better specified?

_____

_____

_____

d. What other management information system requirements need to be defined?

_____

_____

_____

## B. Categories of Information

An effective management information system not only provides accurate and up-to-date information but also ensures that the information is meaningful. For a community based educational institution, such information will be derived from outcome data about learners' personal growth and community development ad process data about the institution's structure, resources and unique approaches to achieving the outcomes.

The following sections of the workbook will help you examine some specific categories of information that should be included in your management information system. The categories are:

- o Learner characteristics and outcomes
- o Program characteristics
- o Personnel: staff and volunteers
- o The governing board
- o Financial resources and accounting
- o Fundraising
- o Community characteristics and needs
- o Affiliations with other institutions and community based organizations.

For each category, the workbook will help you (1) identify and describe the data elements that should be contained in the data base, (2) analyze the data <u>within</u> and <u>across</u> categories to develop useful information for making decisions and (3) note some key indices of quality for community based educational institutions.

If you have been going through this book section by section, the selection of these categories of information should not be surprising to you. You will have already answered several questions that required using such data. That should make completing Part IV easier--but **shouldn't** cause you to skip it. If, on the other hand, you have just turned to this section of the workbook, then proceed carefully through the materials. The analyses will help you respond to questions in Parts I through III.

# C. Learner Characteristics and Outcomes

The data base for program participants should contain (1) data about characteristics of learners when they first enroll in the institution, (2) data describing their program status and progress while enrolled, and (3) exit or outcome data related to their attainment of learning objectives.

By aggregating the data, combining them in various ways and looking at the information over time, you can begin to see patterns that may be meaningful and relevant to the stability and growth of your institution.

## 1. DESIGNING THE DATA BASE

a. Entry data. Do participant records include a range of data regarding the socio-economic characteristics, educational background and current living arrangements of new learners? Review the data in the chart below and place a checkmark in the right-hand column for each element included.

Note: Providing choices rather than open-ended questions makes aggregation of data easier and allows you to code the data into an automated system.

| Attribute | Suggested Description | Data Available |
|---|---|---|
| Contact Information | Name, address, telephone, social security number | _____ |
| Gender | (1) Male<br>(2) Female | _____ |
| Enthnicity | (1) White<br>(2) Black<br>(3) Indian<br>(4) Hispanic<br>(5) Asian<br>(6) Other | _____ |
| Age | (1) less than 16 years<br>(2) 16-21 years of age<br>(3) 22-54 years of age<br>(4) 55 and over | _____ |
| Marital Status | (1) single<br>(2) head of household<br>(3) married<br>(4) other | _____ |

| Attribute | Suggested Description | Data Available |
|---|---|---|
| Handicap | (1) physical<br>(2) sensory<br>(3) mental/emotional<br>(4) none | _____ |
| Primary language | (1) monolingual-English<br>(2) monolingual-other than English<br>(3) bilingual or multilingual English and other(s) | _____ |
| Education level (Formal) | (1) completed less than grade 5<br>(2) grades 5-8<br>(3) grades 9-11<br>(4) high school graduate or GED<br>(5) postsecondary - no degree<br>(6) postsecondary with degree or certificate | _____ |
| Employment status | (1) employed - full time<br>(2) employed - part time<br>(3) unemployed<br>(4) retired<br>(5) other | _____ |
| Income status | (1) under $4,999<br>(2) $5,000 to $7,499<br>(3) $7,500 to $9,999<br>(4) $10,000 to $14,999<br>(5) $15,000 plus | _____ |
| Income Assistance Status | (1) Eligible and receiving income assistance (any source)<br>(2) Eligible but not receiving income assistance<br>(3) Not eligible for assistance | |

b. Program data. Do the records for each learner contain the following program-related data?

| Attribute | Suggested Description | Data Available |
|---|---|---|
| Enrollment status | (1) full-time learner<br>(2) part-time learner | _____ |
| Degree status | (1) enrolled in degree or certificate program<br>(2) enrolled in non-degree program<br>(3) participates in other activities | _____ |
| Program status (description of desired learning outcomes and related program activities) | (Description will vary depending on your institution.) | _____ |
| Entry-level eligibility status | (1) entry-level program requirements met satisfactorily<br>(2) requirements not met (with specifications of needs based on assessment of academic strengths and weaknesses)<br>(3) status pending (specify reasons) | _____ |
| Recognition of competencies acquired through life experiences | (Specification will depend on evaluation and nature of designation of recognition or award of credits.) | _____ |
| Progress toward desired outcomes | (Specification will vary depending on your institution. Documentation might include descriptions of status of learning projects; collections of products--e.g., essays, exam papers, art works, community project reports, etc..; listings of credits awarded or competencies acquired; or staff and self evaluations of learning contracts. Degree of progress could be coded as:<br>(1) excellent progress toward outcomes<br>(2) satisfactory progress<br>(3) needs assistance<br>(4) other | _____ |
| Use of learner support services | (1) academic counseling and support<br>(2) personal and career counseling<br>(3) financial aid assistance<br>(4) job placement assistance<br>(5) other | _____ |

c. Outcome (exit) data. Do the records for each program participant contain the following outcome data?

| Attribute | Suggested Description | Data Available |
|---|---|---|
| Outcome or exit status | (1) Achieved desired outcomes (Documentation should include evidence of achievement of exit-level standards, evidence of written work, work samples, products, staff evaluations, test scores, transcripts, etc.<br>(2) Failed to achieve desired outcomes-status pending (specify conditions)<br>(3) Failed to achieve desired outcomes-dropped from program | _____ |
| Learner degree of satisfaction with program experiences | Areas that might be measured include satisfaction with:<br>• overall experience<br>• quality of experiential learning activities<br>• quality of support and counseling services<br>• learning materials/ resources<br>• quality of contact with peers and staff<br>• opportunities for integrating study/work experiences<br>• appropriateness of facilities | _____<br>_____<br>_____<br>_____<br>_____<br>_____<br>_____ |
| Reason for dropping out | (For learners who fail to complete intended course of study, it is important to ascertain the reason(s) why during an exit interview, if possible. | |
| Post-graduate status of participants | (Information should be obtained through interviews or questionnaires) Relevant categories might include:<br>(1) employed in field related to training<br>(2) employed in field unrelated to training<br>(3) Pursuing further education-same institution<br>(4) pursuing further education-other institution | _____<br>_____<br>_____<br>_____ |

| Attribute | Suggested Description | Data Available |
|---|---|---|
| Post-graduate status of participants (continued) | (5) unemployed-looking for work | _____ |
| | (6) unemployed-not in labor force | _____ |
| | (7) dependent on state/ federal income supplements | _____ |
| | (8) joined the military | _____ |
| | (9) self employed-consistent with personal goals | _____ |
| | (10) not known | _____ |
| Commitment of graduate to institution and community | Relevant categories might include: | |
| | (1) helps the institution through volunteer services and other contributions | _____ |
| | (2) employed in the community and contributes to its development | |
| | (3) left the community to seek employment and personal development | |
| | (4) not known | _____ |

## 2. ANALYZING LEARNER DATA

The types of analyses required to generate useful participant information are primarily descriptive. The data should be aggregated and cross-tabulated according to the major attributes of interest to your institution and presented in chart or tabular form. For example, the total enrollment/program participation data could be combined with data from one or more of the attributes identified (e.g., age, ethnicity, gender, marital status, education level, employment, or economic status) to identify any unusual patterns. The same type of analyses might be used to verify that the populations actually served are indeed those whom the institution intended to serve. By collecting the same data from year to year and comparing them longitudinally, the institution will be establishing its own norms and should be able to judge progress and identify and predict trends.

A number of different charts can be generated using whatever factors are of interest to your institution. Once the data are available, the task is

relatively simple. Here are a few questions you should be able to answer appropriately. You will probably be able to generate many more questions yourself.

a. Are any unusual changes in enrollment patterns evident over a specified period of time at your institution?_____

_____

_____

b. To what extent do the ethnic characteristics, income status, age or sex of enrollees and participants reflect the purpose and mission of the institution?_____

_____

_____

c. If the enrollment data suggest trends in participant characteristics how could the institution respond to these changes?_____

_____

_____

d. What learner needs can be anticipated based on examination of prior education levels? How could these data be used for program planning?_____

_____

_____

_____

Thus far, the analysis of learners' data has focused on the background characteristics of participants when they first enrolled. However, you should be able to combine the background characteristics data with the program and outcome data to develop a series of learner profiles that will help you assess the progress of individuals and also establish a framework for evaluating overall program effectiveness. Such cross-tabulation of data will allow you to generate and verify hypotheses about what happes to learners with different background characteristic as a result of their various program and community learning experiences. (See Program Profile Charts in Part IV Section F).

Here are a few questions that can be answered by such analyses. Again, you will be able to generate many more as you proceed.

e. What are the characteristics of learners who are enrolled in the various programs offered by the institution? What do the data reveal?_____

_____

_____

_____

f. What kinds of learners seek and use learner support services most often? Why?_____

g. What could be said about the characteristics of learners who have achieved their desired outcomes, versus those who have dropped out? Can any patterns be discerned?_____

h. Do the drop-out rates vary among categories of participants?_____

i. Do the patterns differ from one program to another? How might this be explained?_____

j. What do individuals cite most often as the main reasons for dropping out? What factors within the institution or in the community might contribute to the observed drop-out patterns?_____

k. Do the drop-out data have implications for program or administrative changes? What are the implications?_____

l. What do the post-program **outcome** data suggest about the effectiveness of the institution's programs, in particular its goal to prepare individuals who will contribute the well-being of the community?_____

## *QUICK CHECK*

Please rate your institution's system for managing learner information in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Comprehensiveness--provides information in most critical areas of functioning | _____ | _____ | _____ |
| o Completeness--provides information at a valuable level of detail | _____ | _____ | _____ |
| o Usefulness--information aids program planning, evaluation, and day-to-day decision-making | _____ | _____ | _____ |
| o Format--provides information in easy-to-use form | _____ | _____ | _____ |
| o Accuracy--Few errors or gaps | _____ | _____ | _____ |
| o Timeliness--information is kept up to date and reports are produced when needed | _____ | _____ | _____ |

## 3. SECTION SUMMARY

What should be done to improve the institution's management of learner information?_____

_____

_____

_____

_____

# D. Personnel—Staff and Volunteers

Personnel records should include background data regarding staff (characteristics, qualifications, tax-related personal data) and data pertaining to their employment history with the institution.

## 1. DESIGNING THE DATA BASE

a. Do the records maintained for each paid staff and volunteer include:

...name and other I.D. information such as home address, telephone number, social security, date hired, etc.?_____

...other identifying characteristics related to EEO and affirmative action policies (age, sex, race, ethnicity, handicap, etc.)?_____

...position title and description and nature of assignment?_____

...salary and payment status including fringe benefits?_____

...qualifications and summary of experiences including academic preparation, professional affiliations, community-related experiences, and skills and competencies related to nature of the assignment?_____

...nature of present community involvement, commitments and activities?

_____

...outcomes of performance appraisals, including actions taken (e.g., awards, recognitions, commendations or disciplinary actions)?_____

...date and reason(s) if employment status or volunteer assignment was terminated?_____

b. How is the confidentiality of personnel information assured?_____

_____

_____

_____

c. How frequently are records updated and who is primarily responsible for verifying and updating them?_____

_____

_____

_____

_____

## 2. ANALYSIS OF PERSONNEL DATA

Once you have collected these data and summarized them in various ways you should be able to complete charts such as those on the following pages (presented to help you organize and "eyeball" your data).

SAMPLE PERSONNEL PROFILE 1--
PAID STAFF

| | 3 Years Ago (19 ) | | 2 Years Ago (19 ) | | Last Year (19 ) | | This Year (19 ) | |
|---|---|---|---|---|---|---|---|---|
| | Part | Full | Part | Full | Part | Full | Part | Full |
| 1. Number of Administrative Personnel | | | | | | | | |
| 2. Number of instructors or learning facilitators | | | | | | | | |
| 3. Number of guidance and other learner support personnel | | | | | | | | |
| 4. Clerical support | | | | | | | | |
| 5. Other (specify) | | | | | | | | |
| 6. Total paid staff | | | | | | | | |
| 7. Number of paid staff who are:<br>• Women<br>• Men | | | | | | | | |
| 8. Number of paid staff who are<br>• White<br>• Black<br>• Hispanic<br>• Indian<br>• Asian<br>• Other | | | | | | | | |
| 9. Number of paid staff who live in the community | | | | | | | | |
| 10. Number of paid staff who are active in community related activities | | | | | | | | |

SAMPLE PERSONNEL PROFILE 1--
PAID STAFF (continued)

| | 3 Years Ago (19 ) | | 2 Years Ago (19 ) | | Last Year (19 ) | | This Year (19 ) | |
|---|---|---|---|---|---|---|---|---|
| | Part | Full | Part | Full | Part | Full | Part | Full |
| 11. Number of paid staff who have been working at the institution for:<br>o 0-1 years<br>o 2-3 years<br>o 4-6 years<br>o Over 6 years | | | | | | | | |
| 12. Number of paid professional staff whose highest degree earned is:<br>o Associate<br>o Baccalaureate<br>o Masters<br>o Doctorate<br>o Other | | | | | | | | |
| 13. Number of professional staff holding certificates or licenses in areas related to position or assignment | | | | | | | | |
| 14. Number qualified by reason of special experiences related to position/assignment | | | | | | | | |
| 15. Number who have received awards or special recognitions for their efforts/commitment to their work | | | | | | | | |
| 16. Number who are pursuing continuing education and professional development | | | | | | | | |

SAMPLE PERSONNEL PROFILE 2--
VOLUNTEERS

| | 3 Years Ago (19 ) | | 2 Years Ago (19 ) | | Last Year (19 ) | | This Year (19 ) | |
|---|---|---|---|---|---|---|---|---|
| | Part | Full | Part | Full | Part | Full | Part | Full |
| 1. Number of volunteers providing:<br>• Administrative support<br>• Instructional support<br>• Guidance | | | | | | | | |
| 2. Total number of volunteers | | | | | | | | |
| 3. Number living in community | | | | | | | | |
| 4. Number active in other community activities | | | | | | | | |
| 5. Number of volunteers who are women | | | | | | | | |
| 6. Number who have contrubuted their services to the institutions for:<br>• 0-1 year<br>• 2-3 years<br>• 4-6 years<br>• over 6 years | | | | | | | | |
| 7. Number who have been trained by the institution in areas related to assignments | | | | | | | | |
| 8. Number who have been recognized by the institution for their efforts and commitments | | | | | | | | |

Having completed these or similar charts, you should be able to answer the following questions about the strengths and needs of paid staff and volunteers.

a. Examine the distribution of staff characteristics in terms of such factors as gender, age, race, ethnicity. Do any discernible patterns emerge? How might these be explained?

b. Examine the ratios among different categories of staff (e.g., administrators to instructors, instructors to guidance/support personnel). Are these justifiable given the size of the institution and the number of learners?

c. What is the relationship between paid personnel and volunteers? How do their work assignments differ? Is there an adequate level of volunteer support for the institution? How has this support changed over time?

d. How often are staff evaluated? Does frequency of evaluation differ in relation to tenure with the institution? nature of work assignment? employment status (paid/volunteer)? gender? etc...

e. Do salary schedules appear to be positively related to nature of responsibilities and employee qualifications?

f. Based on the employee qualification data examined what seem to be the major strengths of present staff? What might be areas in need of strengthening?

g. What could be said about staff commitment and involvement in community affairs? About staff involvement in professional activities?

h. Examine the frequency and causes of staff turnover and look at the percentage of staff and volunteers that have remained employees of the institution over the last few years. What do the data suggest?_____

_____

_____

_____

_____

## *QUICK CHECK*

Please rate your institution's system for managing personnel information in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Comprehensiveness--provides information in most critical areas of functioning | _____ | _____ | _____ |
| o Completeness--provides information at a valuable level of detail | _____ | _____ | _____ |
| o Usefulness--information aids program planning, evaluation, and day-to-day decision-making | _____ | _____ | _____ |
| o Format--provides information in easy-to-use form | _____ | _____ | _____ |
| o Accuracy--Few errors or gaps | _____ | _____ | _____ |
| o Timeliness--information is kept up to date and reports are produced when needed | _____ | _____ | _____ |

## 3. SECTION SUMMARY

a. What should be done to improve the institution's management of personnel information?_____

_____

_____

# E. The Governing Board

As with staff, the institution will want to maintain complete records of the characteristics and activities of board members.

## 1. DESIGNING THE DATA BASE

a. Do the records maintained for each board member include:

...name and contact information such as address, telephone number, etc?

_____

...name and address of employer, position title and nature of responsibilities?_____

...eligibility, dates, and terms of office as board member?_____

...relevant characteristics such as sex, race, ethnicity and community experiences?_____

...nature of present community ties and activities?_____

...records of attendance at, and participation in, board activities and committees_____

...nature of board assignments?_____

...nature of primary responsibilities and interests (e.g., planning, fund-raising, evaluation, etc.)?_____

...date of leaving and reason(s) if terms of office is not fulfilled?

_____

b. How does the institution assure confidentiality of the data?_____

_____

_____

_____

_____

c. Who is responsible for updating the data base? How often is the data base updated?_____

_____

_____

_____

## 2. ANALYSIS OF BOARD DATA

When you aggregate and examine these data you will have a rich source of information to answer questions about the composition, role and strength of your board of directors. To help you organize the board data and get started on your analysis, complete the Board Profile chart below.

SAMPLE BOARD PROFILE--
CURRENT YEAR

1. Size of the board as specified in by-laws _____
2. Number currently serving as board members _____
3. Number whose term of office expires:
   - o This year _____
   - o Next year _____
   - o 2 years from now _____
   - o Other _____
4. Number of women serving on the board _____
5. Number of board members who are:
   - o White _____
   - o Black _____
   - o Hispanic _____
   - o Indian _____
   - o Asian _____
   - o Other _____
6. Number of board members who:
   - o Live in the community served _____
   - o Work in the community served _____
   - o Have affiliations with other agencies and organizations in the community _____
   - o Are active in community politics _____

SAMPLE BOARD PROFILE--
CURRENT YEAR (continued)

7. Number of board members whose primary responsibilities, interests, and skills are in the area of:

   - o Community relations _____
   - o Planning and evaluation _____
   - o Personnel, human resource management _____
   - o Program development _____
   - o Budgeting and accounting _____
   - o Fundraising and institutional development _____

8. Number of board members whose attendance/participation at board meeting/functions is:

   - o Greater than 75% _____
   - o Between 50 and 75% _____
   - o Less than 50% _____

9. Number of board members who failed to complete their terms of office during the last 10 years _____

10. List the standing board committees. For each, lis its primary function(s), the number of members participating in the committee, and the times the committee met during the last 12 month period.

| Committee | Function | Members | Meetings This Year |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Now, based on your analysis, here are some important outcome questions you should be able to answer about your board. Other relevant questions are posed in the section on "Governance" in Part II of the workbook.

a. Examine the characteristics and make-up of the board (age, sex, length of service, occupations, community ties). How representative is the board of the constituents served by the institution?_____

_____

_____

_____

_____

b. What can be said about participation and involvement of board members in governance? Is the percentage of attendance satisfactory at such functions? Are a few individuals doing most of the work or are the assignments and responsibilities evenly shared?_____

_____

_____

_____

_____

c. What seem to be the primary strengths and interests of the board? Are there areas in need of strengthening?_____

_____

_____

_____

_____

d. What can be said about board stability and continuity? Is there a large turnover of board members--individuals who fail to complete their appointed or elected terms of office? If yes, why?_____

_____

_____

## *QUICK CHECK*

Please rate your institution's system for managing of board information in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Comprehensiveness--provides information in most critical areas of functioning | _____ | _____ | _____ |

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Completeness--provides information at a valuable level of detail | _____ | _____ | _____ |
| o Usefulness--information aids program planning, evaluation, and day-to-day decision-making | _____ | _____ | _____ |
| o Format--provides information in easy-to-use form | _____ | _____ | _____ |
| o Accuracy--Few errors or gaps | _____ | _____ | _____ |
| o Timeliness--information is kept up to date and reports are produced when needed | _____ | _____ | _____ |

a. What should be done to improve the institution's management of board information?_____

# F. Programs and Learning Resources

In designing data bases for the previous categories, we focused primarily on the collection and analysis of quantitative data--discrete numbers that could be manipulated, aggregated and examined from different perspectives. Now, when we consider information about the nature and structure of programs the institution offers to learners, the data are likely to be qualitative--that is, narrative descriptions of the educational and development practices and craft knowledge that have evolved over the years. Analyzing qualitative data is in some cases more difficult than analyzing quantitative data--but the results are well worth the effort.

## 1. DESIGNING THE DATA BASE

a. The definition of an "educational program" is likely to vary from one institution to another. How does your institution define an educational program?_____

_____

_____

_____

_____

b. Based on the definition above, how many educational programs does your institution offer?_____. Identify them by title_____

_____

_____

_____

_____

_____

c. What documentation is available about these programs? Do the records maintained for <u>each</u> program include:

...history and current status of program (e.g., certificate or license, associate, baccalaureate, continuing education, etc.)?_____

...enrollment and completion data (intended and actual beneficiaries)?

_____

...program requirements (e.g., prerequisites, entry-level and exit-level requirements for award of recognitions or degrees)?_____

...statements of program and instructional objectives?_____

...descriptions of program activities and sequenced learning experiences designed to help learners achieve the objectives?_____

...descriptions of instructional approaches used to guide participants in the learning process?_____

...descriptions of support services needed by learners to facilitate acquisition of desired skills, knowledge, values and attitudes?_____

...descriptions of learner assessment strategies used to measure each participant's progress toward objectives?_____

...descriptions of evaluation strategies used to measure the effectiveness of the overall program?_____

...listing (and file copies) of all written guides, syllabi, learning materials, audiovisuals, evaluation reports, and other related program documents?_____

...estimates of resources needed (including staff time, space, materials, and equipment) to implement the program?_____

## 2. ANALYSIS OF PROGRAM DATA

Throughout this workbook there are questions that require considerable knowledge of the institution's programs. We ask you to examine relationships to other institutional elements--for example, to institutional goals or to organizational structure--or to apply specific criteria and consider the strengths and weaknesses of each program.

Such questions call for analyses which are often difficult. There are no magic formulae--you have to look at the questions with an open mind, generate hypotheses about possible relationships and then examine the evidence and decide whether or not it supports your hypotheses. An important check on the "reasonableness" of your conclusions is the fact that they must be justified to others who should be just as familiar with the evidence.

To help you organize your information for analysis, complete the following Program Profile charts. Then answer the questions which follow. (You will also need the Profile Chart information to answer questions in Part III of the workbook.)

Note: Photocopy and complete for each program.

SAMPLE PROGRAM PROFILE 1--
PROGRAM REQUIREMENTS AND METHODS OF ASSESSMENT

Program _____ Degree Status _____

| Requirement Type | Requirements | Assessment Methods |
|---|---|---|
| Entry-level | | |
| Interim-level | | |
| Exit-level | | |

Program _____ Degree Status _____

| Requirement Type | Requirements | Assessment Methods |
|---|---|---|
| Entry-level | | |
| Interim-level | | |
| Exit-level | | |

*Key: 1. Non-Degree 2. Certificate 3. Associate 4. Baccalaureate 5. Masters 6. Other

SAMPLE PROGRAM PROFILE 2--
RELATIONSHIP OF PROGRAMS TO PRIORITIES AND NEEDS

| Name of Program | Institutional Goal(s) Addressed | Major Community Needs Addressed* | Major Participant Needs Addressed* | Resources Allotted | | |
|---|---|---|---|---|---|---|
| | | | | % of Budget | No of Instr. Staff | No. of Support Staff |
| | | | | | | |

*Participants' and community needs are described in Part IV, Sections C and I.

Note: Photocopy, complete for each program and total.

SAMPLE PROGRAM PROFILE 3--
PROGRAM OUTCOME MEASURES
(Enrollment and Retention Data)

PROGRAM: _____

| Participant Characteristics* | 2 years ago | | | | | | Last year | | | | | | This year | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Applying | | Enrolling | | Completing | | Applying | | Enrolling | | Completing | | Applying | | Enrolling | | Completing | |
| | No. | % | No. | % | No. | % | No. | % | No. | % | No. | % | No. | % | No. | % | No. | % |
| Total Learners | | | | | | | | | | | | | | | | | | |
| Total full-time | | | | | | | | | | | | | | | | | | |
| Total part-time | | | | | | | | | | | | | | | | | | |
| Women | | | | | | | | | | | | | | | | | | |
| White | | | | | | | | | | | | | | | | | | |
| Black | | | | | | | | | | | | | | | | | | |
| Hispanic | | | | | | | | | | | | | | | | | | |
| Indian | | | | | | | | | | | | | | | | | | |
| Asian | | | | | | | | | | | | | | | | | | |
| Other | | | | | | | | | | | | | | | | | | |
| Handicapped | | | | | | | | | | | | | | | | | | |
| Low-income | | | | | | | | | | | | | | | | | | |
| Unemployed | | | | | | | | | | | | | | | | | | |
| Other_____ | | | | | | | | | | | | | | | | | | |
| _____ | | | | | | | | | | | | | | | | | | |
| _____ | | | | | | | | | | | | | | | | | | |

*Select characteristics that are relevant to your evaluation needs. Note that the categories aren't necessarily mutually exclusive.

Note: Photocopy, complete for each program and total.

SAMPLE PROGRAM PROFILE 4--
PROGRAM OUTCOME MEASURES
(Placement and Community Commitments)

| | Program A: | | | | | | Program B... | Total |
|---|---|---|---|---|---|---|---|---|
| | 2 yrs. ago ( ) | | Last year ( ) | | This year ( ) | | | |
| Program graduates who: | No. | %* | No. | %* | No. | %* | | |
| 1. are pursuing their education at the same institution? | | | | | | | (complete as per Program A) | |
| 2. have continued their education at other institutions? | | | | | | | | |
| 3. have found and kept jobs in occupational areas for which they were trained? | | | | | | | | |
| 4. are self-employed or employed in cooperative ventures consistent with their goals? | | | | | | | | |
| 5. are unemployed, seeking work? | | | | | | | | |
| 6. are dependent on state or federal supplements? | | | | | | | | |
| 7. have improved their economic/financial status since they first enrolled? | | | | | | | | |
| 8. are residing and working in the community | | | | | | | | |
| 9. are supporting the institution through contributions or volunteer services? | | | | | | | | |
| 10. are active in community development activities? | | | | | | | | |

*Percentage of total learners who completed program or course of study.

a. Examine the percentage of the total budget allotted to each of the institution's programs. Do resource allocation priorities appear to be consistent with the mission and goals? Are there programs whose scope and content seem to fall outside of the institution's stated mission?_____

b. Can you show that the programs are meeting the needs of participants and community? How?_____

c. Does each program appear to be: adequately funded? adequately supported by instructional staff? adequately supported with resource materials and support staff?_____

d. Are program participants, in fact the kinds of individuals for whom the program was intended? Have they benefited from the program by completing the program requirements, graduating and contributing to their community?

## *QUICK CHECK*

Please rate your institution's system for managing program information in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Comprehensiveness--provides information in most critical areas of functioning | _____ | _____ | _____ |
| o Completeness--provides information at a valuable level of detail | _____ | _____ | _____ |
| o Usefulness--information aids program planning, evaluation, and day-to-day decision-making | _____ | _____ | _____ |
| o Format--provides information in easy-to-use form | _____ | _____ | _____ |
| o Accuracy--Few errors or gaps | _____ | _____ | _____ |
| o Timeliness--information is kept up to date and reports are produced when needed | _____ | _____ | _____ |

## 3. SECTION SUMMARY

What should be done to improve the institution's management of program information?_____

_____

_____

_____

_____

# G. Financial Resources and Accounting

At a time when resources for community based eductional institutions are scarce, financial self assessment is increasingly important. If the assessment is linked to overall institutional and program evaluation, the results will provide a sound basis for planning and for making the decisions that chart your institution's future and assure its survival and health.

## 1. DESIGNING THE DATA BASE

a. Do the institution's financial records:

...show and account for all revenues and expenditures?_____

...identify all sources of institutional funding?_____

...identify expenditures by operational category (e.g., instructional activities, administrative support, clerical support, maintenance, etc.)?

_____

...indicate the cost of supporting each major program offered?_____

...identify cost per unit of service (e.g., cost per program participant, or per contact hour, etc.)?_____

b. Does the accounting system record and monitor participant accounts? Is up-to-date, accurate information provided regarding:

...tuition accounts?_____

...billings?_____

...financial aid awards?_____

...loan payments?_____

c. Does the system provide current inventories of institutional resources, including:

...learning resources (books, films, external resources, etc.)?_____

...human resources (consultants, volunteer resources, professional service providers, etc.)?_____

...equipment, property and other assets?_____

d. Are audited statements of assets and liabilities, revenues, expenses, fund balances and changes in financial position available for each fiscal year?_____

## 2. ANALYSIS OF FINANCIAL DATA

Analysis of trend data--changes in amount or percent of revenues and expenditures by category over time--may reveal some important facts about the health of the institution. Of significant concern in the analysis are three issues: (1) evidence of financial stability, diversification and orderly growth, (2) evidence of adequate allocation and expenditure of funds in support of critical institutional and program activities and functions, and (3) evidence of good operating performance. Most of the information you need to focus on these issues can be obtained directly from your financial statement (balance sheet and statement of revenue and expenses). However, to help you organize your financial data for analysis, you may wish to complete the following Sample Financial Profile charts. Several questions are provided following the charts to guide your thinking.

Note: To analyze changes in financial data from year to year, you must "deflate" each year's dollars to remove the effects of inflation. Comparisons can then be made in terms of changes in constant dollars.

SAMPLE FINANCIAL PROFILE 1--
REVENUES DURING A FOUR-YEAR PERIOD

| Revenues | 3 Years ago (19 ) | | 2 Years ago (19 ) | | Last Year (19 ) | | This Year (19 ) | | Next Year Projected (19 ) | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Amt | %* | Amt | %* | Amt | %* | Amt | %* | Amt | %* |
| Income | | | | | | | | | | |
| Fees/Tuition | | | | | | | | | | |
| Sales/Services | | | | | | | | | | |
| Investments | | | | | | | | | | |
| Campaigns | | | | | | | | | | |
| Endowment | | | | | | | | | | |
| Other | | | | | | | | | | |
| Gifts, Grants and Contracts | | | | | | | | | | |
| Government | | | | | | | | | | |
| Federal | | | | | | | | | | |
| State | | | | | | | | | | |
| Local | | | | | | | | | | |
| Foundations | | | | | | | | | | |
| Corporations | | | | | | | | | | |
| Individuals | | | | | | | | | | |
| Volunteer and In-kind** | | | | | | | | | | |
| Volunteers | | | | | | | | | | |
| Staff | | | | | | | | | | |
| Organizations | | | | | | | | | | |
| Other | | | | | | | | | | |
| Loans | | | | | | | | | | |
| Other (specify) | | | | | | | | | | |
| TOTAL REVENUES | | | | | | | | | | |

*Percentage of total revenues

**Estimates based on replacement value

Note: Audited Financial Statement may be substituted

SAMPLE FINANCIAL PROFILE 2--
EXPENDITURES DURING A FOUR-YEAR PERIOD

| Expense Categories | 3 Years ago (19 ) | | 2 Years ago (19 ) | | Last Year (19 ) | | This Year (19 ) | | Next Year Projected (19 ) | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Amt | %* | Amt | %* | Amt | %* | Amt | %* | Amt | %* |
| Instruction | | | | | | | | | | |
| Personnel | | | | | | | | | | |
| Contractual | | | | | | | | | | |
| Materials/other learning resources | | | | | | | | | | |
| Other | | | | | | | | | | |
| Administration | | | | | | | | | | |
| Personnel | | | | | | | | | | |
| Contractual | | | | | | | | | | |
| Materials | | | | | | | | | | |
| Other | | | | | | | | | | |
| Learner Support Services | | | | | | | | | | |
| Personnel | | | | | | | | | | |
| Contractual | | | | | | | | | | |
| Materials | | | | | | | | | | |
| Other | | | | | | | | | | |
| Project Implementation | | | | | | | | | | |
| Personnel | | | | | | | | | | |
| Contractual | | | | | | | | | | |
| Materials | | | | | | | | | | |
| Fundraising | | | | | | | | | | |
| Personnel | | | | | | | | | | |
| Contractual | | | | | | | | | | |
| Materials | | | | | | | | | | |
| Travel | | | | | | | | | | |
| Production | | | | | | | | | | |
| Benefits | | | | | | | | | | |
| Loan Payments/ Scholarships | | | | | | | | | | |

*Percentage of total expenditures

SAMPLE FINANCIAL PROFILE 2--
EXPENDITURES DURING A FOUR-YEAR PERIOD
(continued)

| Expense Categories | 3 Years ago (19 ) | | 2 Years ago (19 ) | | Last Year (19 ) | | This Year (19 ) | | Next Year Projected (19 ) | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Amt | %* | Amt | %* | Amt | %* | Amt | %* | Amt | %* |
| Administrative and Overhead | | | | | | | | | | |
| Communications | | | | | | | | | | |
| Supplies | | | | | | | | | | |
| Equipment | | | | | | | | | | |
| Printing/Duplication | | | | | | | | | | |
| Occupancy | | | | | | | | | | |
| Other | | | | | | | | | | |
| Other (specify) | | | | | | | | | | |

*Percentage of total expenditures

SAMPLE FINANCIAL PROFILE 2--
EXPENDITURES DURING A FOUR-YEAR PERIOD
(continued)

| Expense Categories | 3 Years ago (19 ) | | 2 Years ago (19 ) | | Last Year (19 ) | | This Year (19 ) | | Next Year Projected (19 ) | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Amt* | %** | Amt* | %** | Amt* | %** | Amt* | %** | Amt* | %** |
| Administrative and Overhead | | | | | | | | | | |
| Communications | | | | | | | | | | |
| Supplies | | | | | | | | | | |
| Equipment | | | | | | | | | | |
| Printing/Duplication | | | | | | | | | | |
| Occupancy | | | | | | | | | | |
| Other | | | | | | | | | | |
| Other (specify) | | | | | | | | | | |

*Percentage of total expenditures

SAMPLE FINANCIAL PROFILE 4--
EXPENDITURES ALLOTTED TO PROGRAMS
DURING A FOUR-YEAR PERIOD
(Actual or Best Estimates)

| Name of Program* | 3 Years ago (19 ) | | 2 Years ago (19 ) | | Last Year (19 ) | | This Year (19 ) | | Next Year Projected (19 ) | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Amt** | %† | Amt** | %† | Amt** | %† | Amt** | %† | Amt** | %† |
| | | | | | | | | | | |
| TOTAL | | | | | | | | | | |

*Include also the names of programs that have been dropped or added during this period.

**Total expenditures for programs including instruction, learner support services, and institutional support.

†Percentage of total expenditures.

a. With regard to revenues:

...What changes in revenue patterns may be observed?_____

...Were these changes in revenues intended or unintended? Do they reflect a change in institutional policies and strategies?_____

...What do the data suggest about changes in revenue dependence for support of the institution's programs? For example, is there an increasing dependence on external (e.g., grant) support?_____

...What do the ratios of various categories of support (e.g., government support to the total of grants and gifts received) suggest?

...What is the ratio of doubtful accounts to income receivable? What does this percentage suggest?_____

b. With regard to expenditures:

...What are the most significant changes suggested by variations in expenditure proportions for the various categories over time?_____

...How can these changes be explained?_____

...What is the current relationship between instructional costs, learner support expenditures, and institutional support expenditures?_____

_____

_____

Note: Some useful information may be derived by finding what percent of total operating expenses goes to instructional costs, administrative and overhead costs, fundraising costs and personnel costs and tracking changes over time.

...Have the expenditure relationships changed during the last four years? How might these changes be explained or justified?_____

_____

_____

_____

_____

...How much and what proportion of the total expenditures were spent on board functions, staff development, planning and evaluation activities, fundraising, community outreach and communication and information management? How have these changed over time? How do these allocations reflect institutional priorities?_____

_____

_____

_____

_____

_____

...What are the expenditures per participant for the various programs? (Use enrollment data for each program and divide into program expenditures.)_____

_____

_____

_____

_____

...Have the average costs per participant changed over time? How?_____

_____

_____

...Do the patterns change if you use program completion data instead of enrollment data? How?_____

_____

_____

_____

c. Looking at revenues and expenditures during the last four years:

...what could be said about the institution's stability, its growth pattern and its ability to provide continued support to its most critical functions?_____

_____

_____

_____

_____

_____

Note: Useful information may also be obtained by comparing operating expenses with earned income (tuition, sales and services, etc.); grants and gifts; investment income; endowment income; donated services, materials, etc.; liquid cash; total assets; and interest expenses.

## QUICK CHECK

Please rate your institution's system for managing financial information in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Comprehensiveness--provides information in most critical areas of functioning | _____ | _____ | _____ |
| o Completeness--provides information at a valuable level of detail | _____ | _____ | _____ |
| o Usefulness--information aids program planning, evaluation, and day-to-day decision-making | _____ | _____ | _____ |
| o Format--provides information in easy-to-use form | _____ | _____ | _____ |
| o Accuracy--Few errors or gaps | _____ | _____ | _____ |
| o Timeliness--information is kept up to date and reports are produced when needed | _____ | _____ | _____ |

## 3. SECTION SUMMARY

a. What should be done to improve the institution's management of financial information?

# H. Fundraising

Fundraising as a source of institutional revenues and as a category of expenditures was discussed briefly in the earlier assessment of the Financial and Accounting Data. However, fundraising activities and their outcomes are so critical to an institution's survival that they require special attention. The analysis of fundraising data should focus equally as much on the process--the steps and strategies used--as the outcomes.

## 1. DESIGNING THE DATA BASE

a. What information is maintained about past and current fundraising efforts?

_____

_____

_____

_____

b. Do the records include, for <u>each</u> contact:

...The name and address of the institution or individual donor contacted?

_____

...Who was spoken to?_____

...Who from the institution made the contact?_____

...The outcomes from each contact?_____

...Follow-up needed?_____

c. Do the records include, for <u>each</u> fundraising event:

...Description of the event (objectives, activities, resources, dates, etc.)?_____

...The level of effort required to prepare for and stage the event?_____

...The person(s) involved in the fundraising effort?_____

...The outcomes (lessons learned as well as goals set and actual amounts raised)?_____

...The cost of each dollar raised as part of the event?_____

## 2. ANALYSIS OF FUNDRAISING DATA

The following charts and questions are designed to help you analyze your fundraising efforts. Not that comparisons of data from year to year must be made in terms of constant dollars; that is, dollars indexed to account for the effects of inflation.

SAMPLE FUNDRAISING PROFILE 1--
PRIVATE CONTRIBUTIONS AND GIFTS
(Unrestricted Income)

| | 2 years ago (19 ) | | | Last year (19 ) | | | This year (19 ) | | | Next Year-Projected (19 ) | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Contact with Sources | # Made | # Contrb | $ Contrb | # Made | # Contrb | $ Contrb | # Made | # Contrb | $ Contrb | # Made | # Contrb | $ Contrb |
| National Corporations | | | | | | | | | | | | |
| Local Corporations | | | | | | | | | | | | |
| Local Businessnes | | | | | | | | | | | | |
| National Foundations | | | | | | | | | | | | |
| Local Foundations | | | | | | | | | | | | |
| Private Individuals (non-graduates) | | | | | | | | | | | | |
| Graduates | | | | | | | | | | | | |
| Churches | | | | | | | | | | | | |
| United Way | | | | | | | | | | | | |
| Other Charitable Organizations | | | | | | | | | | | | |
| Other(s) | | | | | | | | | | | | |
| TOTAL | | | | | | | | | | | | |

SAMPLE FUNDRAISING PROFILE 2--
GRASSROOTS EFFORTS

| | 2 years ago (19 ) | | | | Last year (19 ) | | | | This year (19 ) | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Grassroots Fundraising Event | Goal | Amount raised (1) | Amount spent (2) | Cost of $ raised (2/1) | Goal | Amount raised (1) | Amount spent (2) | Cost of $ raised (2/1) | Goal | Amount raised (1) | Amount spent (2) | Cost of $ raised (2/1) |
| 1. | | | | | | | | | | | | |
| 2. | | | | | | | | | | | | |
| 3. | | | | | | | | | | | | |
| 4. | | | | | | | | | | | | |

SAMPLE FUNDRAISING PROFILE 3--
GRANTS AND CONTRACTS
(Restricted Income)

| | 2 years ago (19 ) | | | Last year (19 ) | | | This year (19 ) | | | Next Year - Projected (19 ) | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Sources | # of Proposals Submitted | # Won | Amt. of Funding | # of Proposals Submitted | # Won | Amt. of Funding | # of Proposals Submitted | # Won | Amt. of Funding | # of Proposals Submitted | # Won | Amt. of Funding |
| Government: | | | | | | | | | | | | |
| Federal | | | | | | | | | | | | |
| State | | | | | | | | | | | | |
| Local | | | | | | | | | | | | |
| Foundations | | | | | | | | | | | | |
| Corporations | | | | | | | | | | | | |
| Associations | | | | | | | | | | | | |
| Other(s) | | | | | | | | | | | | |
| TOTAL | | | | | | | | | | | | |

SAMPLE FUNDRAISING PROFILE 4--
TUITION AND FEES AND GOVERNMENT
AND PRIVATE SCHOLARSHIPS AND FINANCIAL AID

| | 2 years ago (19 ) | | Last year (19 ) | | This year (19 ) | | Next Year-Projected (19 ) | |
|---|---|---|---|---|---|---|---|---|
| Sources of Funds | Amt Raised | % of Total Resources | Amt Raised | % of Total Resources | Amt Raised | % of Total Resources | Amt Raised | % of Total Resources |
| 1. Tuition & Fees<br>2. Government and Private Scholarship Funds | | | | | | | | |
| 3. Net revenue from learners (1 minus 2) | | | | | | | | |
| TOTAL | | | | | | | | |

SAMPLE FUNDRAISING PROFILE 5--
EXPENDITURE AND COST OF FUNDRAISING

| | 2 years ago (19 ) | | | Last year (19 ) | | | This year (19 ) | | | Next Year-Projected (19 ) | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Fundraising Strategy | Amt Raised (1) | Amt Spent (2) | Cost of Each $ Raised (2/1) | Amt Raised (1) | Amt Spent (2) | Cost of Each $ Raised (2/1) | Amt Raised (1) | Amt Spent (2) | Cost of Each $ Raised (2/1) | Amt Raised (1) | Amt Spent (2) | Cost of Each $ Raised (2/1) |
| Private Gifts | | | | | | | | | | | | |
| Grassroots Efforts | | | | | | | | | | | | |
| Grants and Contracts | | | | | | | | | | | | |
| Investments | | | | | | | | | | | | |
| Other | | | | | | | | | | | | |
| TOTAL | | | | | | | | | | | | |

a. Based on the data, which fundraising strategy appears to yield the highest return, given the level of effort for each? Compare the cost of each dollar raised for the different strategies._____

_____

_____

b. Do fundraising patterns appear to be consistent from year to year? Have there been significant changes? If so, how could such changes be explained?_____

_____

_____

c. How does the amount spent on fundraising compare with the amount budgeted for fundraising activities?_____

_____

d. With regard to private contributions:

...What proportion of individuals contacted contribute?_____

...How much is the average gift?_____

...What is the breakdown among individuals, graduates, foundations, corporate gifts, charitable organizations, etc.?_____

_____

_____

_____

...Do these proportions vary from year to year? Why?_____

_____

_____

_____

...How do actual contacts and outcomes compare with planned objectives for fundraising?_____

_____

_____

e. With regard to grassroots fundraising:

...Which events seem to be most successful? Why?_____

_____

_____

...What has the institution done to make such events a routine part of its function?_____

_____

_____

_____

_____

f. With regard to grants and contracts:

...What can be said about the success rate of the institution's proposal submission efforts?_____

_____

_____

_____

_____

...What steps should be take to improve the success rate? Should the institution improve its efforts to compete for grants and contracts?

_____

_____

_____

_____

g. With regard to tuition and fees:

...What proportion of the total revenues raised is contributed by participants' tuition and fees?_____

...Has this proportion increased during the last three years? If yes, how has the increase affected enrollment and, in particular, the type of adult learner who is enrolling in the programs?_____

_____

_____

...Has the institution been able to raise the amount of scholarship, fellowship and learner financial aid funds that could offset the tuition/fee costs? Explain._____

_____

_____

_____

_____

_____

_____

_____

_____

h. Overall, how does the institution evaluate its fundraising efforts? Indicate the significance for future efforts._____

_____

_____

_____

i. What steps seem necessary to improve the effectiveness of fundraising efforts?_____

_____

_____

_____

_____

_____

_____

## *QUICK CHECK*

Please rate your institution's system for managing fundraising information in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Comprehensiveness--provides information in most critical areas of functioning | _____ | _____ | _____ |
| o Completeness--provides information at a valuable level of detail | _____ | _____ | _____ |
| o Usefulness--information aids program planning, evaluation, and day-to-day decision-making | _____ | _____ | _____ |
| o Format--provides information in easy-to-use form | _____ | _____ | _____ |
| o Accuracy--Few errors or gaps | _____ | _____ | _____ |
| o Timeliness--information is kept up to date and reports are produced when needed | _____ | _____ | _____ |

## 3. SECTION SUMMARY

a. What should be done to improve the institution's management of fundraising information?

# I. Community Needs and Characteristics

A major challenge for community based educational institutions is to offer programs and other learning experiences that will respond to the needs of their constituents and contribute to the development and improvement of their communities. To meet this challenge, each institution must understand the problems faced by the adult learners in the community and the unique factors that characterize that community. The major information objectives are to be able to (1) accurately describe the population living in the community; (2) assess the socio-economic factors that tend to limit access to education for some residents; (3) identify the unique features that might shape the nature of the programs offered by the institution; and (4) describe the relationship between the institution and its community.

## 1. DESIGNING THE DATA BASE

a. Does your current system document such physical characteristics of the community as:

...the geographic boundaries of the area (e.g., name of state, county, city, service delivery district, congressional district, precinct and ward)?_____

...its general density characteristics (urban, rural or mixed community)?

_____

...the primary types of dwelling units in the area and their condition?

_____

...the presence and condition of public housing projects?_____

...the presence and condition of commercial strips?_____

...restoration activities or incidence of vandalism?_____

b. Does your system document such socio-economic characteristics as:

...size of the population in the area served?_____

...racial and ethnic characteristics of residents?_____

...primary languages spoken in the homes of residents?_____

...age distribution of residents?_____

...educational level of residents?_____

...unemployment levels in the area?_____

...percentage of families receiving AFDC benefits or other government income supplements?_____

...nature, types of industries in the area?_____

...occupational opportunities in the area?_____

c. Does your current system document such "quality of life" considerations as availability, accessibility and quality of:

...social services?_____

...cultural opportunities?_____

...recreational facilities?_____

...educational and other learning opportunities?_____

...public transportation?_____

...medical and mental health facilities?_____

## 2. ANALYSIS OF COMMUNITY DATA

Much of this workbook is based on the underlying assumption that the success of a community based institution depends on the extent to which its programs address actual community needs. Hence, our emphasis on organization and analysis of community data to help you define, describe and understand your community. Not only are the results of such analysis important for program planning and development, but the data are also useful as baseline measures for evaluation.

An analysis and interpretation of data regarding community needs and characteristics will help you answer many of the questions raised in every part of this workbook. The data need not be extremely detailed to be helpful. To help you get started, a series of four descriptive profiles are provided below. Answer the questions using whatever information is available to you, including: (1) data maintained by your institution, (2) data and records maintained by other community agencies, (3) discussion with knowledgeable community residents and officials and (4) your own observations of conditions and events.

SAMPLE COMMUNITY NEEDS PROFILE 1--
PHYSICAL CHARACTERISTICS

1. Describe the prevalent type of dwelling units in the area served (rank order, (1) being the most prevalent).

| | |
|---|---|
| _____ Single family detached | _____ Highrise |
| _____ Row house | _____ Other (Specify) |
| _____ Garden apartments | _____ |

2. Describe the general condition of the housing units in the area served (select one).

| | |
|---|---|
| _____ Extremely deteriorated | _____ Few signs of deterioration |
| _____ Somewhat deteriorated | _____ No signs of deterioration |

3. Describe the presence and condition of commercial strips or concentrations in the area served (select one).

_____ None present
_____ A few exist but inadequate
_____ Many exist, adequate

4. Describe the presence and condition of public housing projects in the area served (select one).

_____ None present
_____ A few exist, but inadequate
_____ Many exist, adequate

5. Describe evidence of vandalism in the area served (e.g., graffiti, burned out or abandoned buildings, vacant lots, broken windows, etc.) (select one).

_____ Considerable signs of vandalism
_____ Few signs of vandalism
_____ No signs of vandalism

6. Describe evidence of neighborhood rehabilitation in the area served (select one).

_____ Considerable signs of restoration
_____ Some sings of resotration
_____ No signs of restoration

SAMPLE COMMUNITY NEEDS PROFILE 2--
SOCIO-ECONOMIC FACTORS

1. Describe the size of the population in the area served (select one).

_____ Under 1,000
_____ 1,000 - 9,999
_____ 10,000 - 49,999
_____ 50,000 - 499,999
_____ 500,000 plus

2. Describe the racial/ethnic characteristic of the residents (select one).

_____ Primarily White
_____ Primarily Black
_____ Primarily Hispanic
_____ Primarily Indian
_____ Mixed (specify) _____
_____ Other (specify) _____

3. Identify the primary language(s) spoken in the homes of residents (select one).

_____ Mostly English
_____ Mostly Spanish
_____ Other (specify) _____
_____ Bilingual or multilingual (specify) _____

4. Identify the most significant age groupings for residents (rank order, (1) being the most significant).

_____ Under 16 yrs. of age
_____ Between 16 and 21 yrs. of age
_____ Between 22 and 54 yrs. of age
_____ 55 and over

5. Identify the most prevalent educational levels among adult residents (rank order, (1) being the most prevalent).

_____ Completed at least 5 yrs. of school
_____ Completed 6-8 yrs. of school
_____ Completed 9-11 yrs. of school
_____ Graduated from high school
_____ Some post-secondary education

6. Select the category that describes most accurately the annual income level of most families or households in the area (select one).

_____ Less than $5,000
_____ $5,000 - $7,499
_____ $7,500 - $9,999
_____ $10,000 - $14,999
_____ $15,000 plus

SAMPLE COMMUNITY NEEDS PROFILE 3--
EMPLOYMENT FACTORS

1. Using the following scale--1) less than 10%; 2) 10% - 15%; 3) 16% - 20%; 4) 21% plus--indicate the unemployment levels in the community for:

   _____ Adults
   _____ Youths
   _____ Women
   _____ Minorities (specifiy)
   _____ Others (specify)

2. Indicate the percentage of families receiving AFDC benefits in the area (select one).

   _____ Less than 10%
   _____ 10%-15%
   _____ 16%-20%
   _____ 21% plus

3. Using the following scale--1) Upward Trend; 2) Downward Trend; 3) Unchanged --identify and indicate employment opportunities for the major industries in or near the primary area served. Consider such fields as agriculture, energy, manufacturing, construction, transportation, trade, banking, insurance, real estate, personal services, computer services, and tourism.

| Major Employment Opportunities | Trend |
|---|---|
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

4. Identify and indicate the occupational opportunities related to the major industries in the area. Consider each of the following categories of opportunity:

   ...professional/technical _____
   _____
   _____

...managerial

...sales

...clerical

...crafts (skilled workers)

...operatives (semi-skilled)

...service workers

...laborers (unskilled-nonfarm)

...farm and farm workers

...other (specify)

5. Describe the employment opportunities for residents in the area served (select one).

_____ Many jobs available but most residents lack prerequisite skills.

_____ Many jobs available, residents have or can acquire skills but barriers to employment exist.

_____ Few jobs exist, residents must leave area to find employment.

SAMPLE COMMUNITY NEEDS PROFILE 4--
QUALITY-OF-LIFE FACTORS

1. Describe and assess the availability, accessibility and quality of each of the following human services for residents in the primary area served by your institution:

| | Available? | Accessible? | Quality Rating Poor | Fair | Good |
|---|---|---|---|---|---|
| ...legal services | _____ | _____ | ___ | ___ | ___ |
| ...employment assistance | _____ | _____ | ___ | ___ | ___ |
| ...housing assistance | _____ | _____ | ___ | ___ | ___ |
| ...emergency medical care | _____ | _____ | ___ | ___ | ___ |
| ...preventive health/dental care | _____ | _____ | ___ | ___ | ___ |
| ...mental health services | _____ | _____ | ___ | ___ | ___ |
| ...public transportation | _____ | _____ | ___ | ___ | ___ |
| ...energy assistance | _____ | _____ | ___ | ___ | ___ |
| ...prenatal care | _____ | _____ | ___ | ___ | ___ |
| ...rehabilitation services for handicapped | _____ | _____ | ___ | ___ | ___ |
| ...special assistance for the aged | _____ | _____ | ___ | ___ | ___ |
| ...family planning | _____ | _____ | ___ | ___ | ___ |
| ...other (specify) | | | | | |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |

2. Describe and assess the availability, accessibility and quality of cultural opportunities and recreational facilities in the area, including:

| | Available? | Accessible? | Quality Rating Poor | Fair | Good |
|---|---|---|---|---|---|
| ...museums | _____ | _____ | ___ | ___ | ___ |
| ...art galeries | _____ | _____ | ___ | ___ | ___ |
| ...theaters-community playhouses | _____ | _____ | ___ | ___ | ___ |

| | Available? | Accessible? | Quality Rating Poor | Fair | Good |
|---|---|---|---|---|---|
| ...movies | _____ | _____ | ___ | ___ | ___ |
| ...libraries | _____ | _____ | ___ | ___ | ___ |
| ...parks and playgrounds | _____ | _____ | ___ | ___ | ___ |
| ...community and recreation centers | _____ | _____ | ___ | ___ | ___ |
| ...civic clubs | _____ | _____ | ___ | ___ | ___ |
| ...public swimming pools | _____ | _____ | ___ | ___ | ___ |
| ...religious organizations | _____ | _____ | ___ | ___ | ___ |
| ...other (specify) | | | | | |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |

3. Describe and assess the availability, accessibility and quality of the following educational and other learning opportunities for residents:

| | Available? | Accessible? | Quality Rating Poor | Fair | Good |
|---|---|---|---|---|---|
| ...4-year schools and colleges | _____ | _____ | ___ | ___ | ___ |
| ...2-year schools and colleges | _____ | _____ | ___ | ___ | ___ |
| ...vocational/technical schools (list specialties) | | | | | |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| ...sheltered workshops for handicapped | _____ | _____ | ___ | ___ | ___ |
| ...adult basic education (public institutions) | _____ | _____ | ___ | ___ | ___ |
| ...worker education programs (list specialties) | | | | | |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |

| | Available? | Accessible? | Quality Rating | | |
|---|---|---|---|---|---|
| | | | Poor | Fair | Good |
| ...community-based organizations with educational programs | | | | | |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| ...adult English as a Second Language programs | | | | | |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| ...union-sponsored programs (list specialties) | | | | | |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| ...other (specify) | | | | | |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |
| _____ | _____ | _____ | ___ | ___ | ___ |

Once you have organized the data, your task is to interpret the information in ways that are meaningful to the improvement of the institution and its programs. Here are a few questions to help you along.

a. After reviewing carefully the demographic characteristics of the community and its social and employment conditions, what are its five most critical needs?_____

_____

_____

_____

_____

_____

b. In what way are these needs compatible with your institution's mission and goals?_____

_____

_____

_____

_____

c. How and to what extent do the institution's current programs address the five needs?

d. Are there programs that seem to address community needs that are not apparent based on the assessments? How are these justified?

e. How have community needs changed in the past five years? How were these changes monitored? To what extent has the institution added or dropped programs in response to these changes?

## *QUICK CHECK*

Please rate your institution's system for managing community information in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Comprehensiveness--provides information in most critical areas of functioning | | | |
| o Completeness--provides information at a valuable level of detail | | | |
| o Usefulness--information aids program planning, evaluation, and day-to-day decision-making | | | |
| o Format--provides information in easy-to-use form | | | |
| o Accuracy--Few errors or gaps | | | |
| o Timeliness--information is kept up to date and reports are produced when needed | | | |

## 3. SECTION SUMMARY

a. What should be done to improve the institution's management of community information?

# J. Affiliations With Other Agencies

Through inter-organizational arrangements, the institution is better able to meet the needs of its constituents by (1) increasing access to scarce resources such as libraries, shops, or laboratories for learning, (2) referring participants to appropriate community sources of service and assistance and (3) becoming part of a comprehensive network of groups working together to solve common problems.

This section is designed to help you collect and analyze the data you need to identify organizations and their resources; determine whether conditions are favorable for cooperative efforts; and develop (or assess) inter-agency agreements.

## 1. DESIGNING THE DATA BASE

a. To maintain awareness of the current services and resources available in your community, does your system maintain data about:

...names and addresses of all public and private organizations that provide human services or education programs to residents?_____

...nature and types of service these organizations provide?_____

...a contact person with each organization?_____

...eligibility requirements and other information about how to access services?_____

...dates, frequency counts, and outcomes of personal contacts made with these agencies for the purpose of information-gathering or referral?

_____

b. Does your system document the nature of affiliations with other community organizations, including:

...names of participating organizations?_____

...basic characteristics of these organizations?_____

...contact persons within the organizations?_____

...nature and type of arrangements?_____

...types of service and resource exchanges that are taking place, if any?

_____

...conditions affecting any exchanges of services or resources?_____

...extent and frequency of actual exchanges of services and resources?

_____

...outcomes and future status of arrangements?_____

## 2. ANALYSIS OF AFFILIATION DATA

The purposes of the analysis are to (1) develop a summary profile of the organizations that provide education and other social services to residents in your community and (2) examine more closely the nature and effectiveness of affiliations with other agencies in the community. To develop the summary profile of organizations, you will need to collect the data elements noted in question (a) above. To help you organize the data regarding inter-organizational affiliations, complete the Sample Profile on the next page. Photo-reproduce as many copies as you need.

SAMPLE PROFILE
OF INSTITUTIONAL AFFILIATIONS

| Institution With Which Affiliated | AFFILIATE 1: | AFFILIATE 2: | AFFILIATE 3: |
|---|---|---|---|
| Date of Description | | | |
| Services or resources exchanged<br>...they provide: | | | |
| ...we provide: | | | |
| Financial resources exchanged<br>...they pay: | | | |
| ...we pay: | | | |
| Major conditions affecting exchanges<br>...imposed by them: | | | |
| ...imposed by us: | | | |

SAMPLE PROFILE
OF INSTITUTIONAL AFFILIATIONS
(continued)

| Institution With Which Affiliated | AFFILIATE 1: | AFFILIATE 2: | AFFILIATE 3: |
|---|---|---|---|
| Date of Description | | | |
| Number of learners using services or resources<br>...theirs: | | | |
| ...ours: | | | |
| Major Problems<br>...for them: | | | |
| ...for us | | | |
| Future direction (continue? changes needed? terminate?) | | | |

To help you interpret the information, answer the following questions:

a. What is the total number of organizations in your community that serve the educational and social/welfare needs of residents?_____

b. In which area(s) does there appear to be duplication of effort? How might this be explained?_____

_____

_____

_____

c. From your knowledge, what opportunities exist for these groups to communicate and interact with each other? What efforts have been made?_____

_____

_____

_____

d. What has been (is) the role of your institution in promoting collaboration?_____

_____

_____

_____

e. With how many and what types of organizations does your institution maintain formal or informal relationships that involve some sharing of resources?_____

_____

_____

_____

f. Who was primarily involved in promoting and developing these arrangements? Briefly describe the factors that facilitated the arrangements._____

_____

_____

_____

g. In looking at the nature of the agreements and the resources or services that are shared, what patterns emerge? Do they reflect shifting strategies, intended or unintended?_____

_____

_____

_____

h. How well do the materials and resources exchanged match the needs of your program participants? Explain_____

_____

_____

i. What is the actual rate of utilization of services or resources available through inter-agency arrangements?_____

_____

_____

_____

_____

j. How satisfied are you and your program participants with the conditions affecting exchanges of resources?_____

_____

_____

k. What problems are most apparent with each arrangement and what could be done to resolve them to the satisfaction of those involved?_____

_____

_____

_____

_____

_____

_____

## *QUICK CHECK*

Please rate your institution's system for managing information about inter-agency linkage in terms of:

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Comprehensiveness--provides information in most critical areas of functioning | _____ | _____ | _____ |
| o Completeness--provides information at a valuable level of detail | _____ | _____ | _____ |
| o Usefulness--information aids program planning, evaluation, and day-to-day decision-making | _____ | _____ | _____ |
| o Format--provides information in easy-to-use form | _____ | _____ | _____ |

| | Needs a lot of work | Needs some work | We're in good shape |
|---|---|---|---|
| o Accuracy--Few errors or gaps | _____ | _____ | _____ |
| o Timeliness--information is kept up to date and reports are produced when needed | _____ | _____ | _____ |

## 3. SECTION SUMMARY

a. What should be done to improve the institution's management of information regarding management inter-agency linkage?_____

_____

_____

_____

_____

b. What ideas for improving the arrangements with other agencies have emerged from your analysis?_____

_____

_____

_____

_____

## K. Next Steps

In completing Part IV you have probably identified several areas in which improvements can be made. Look back at the section summaries for sections A through J and review your suggestions. Then use the chart on the next two pages to summarize the actions that need to be taken. There is space on the chart to note who should be involved in each activity, and the time frame for its completion.

| INFORMATION MANAGEMENT | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

| INFORMATION MANAGEMENT | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

| INFORMATION MANAGEMENT | | |
|---|---|---|
| ACTION TO BE TAKEN | BY WHOM | BY WHEN |
| | | |

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